



DIRECTOR
OF
CENTRAL
INTELLIGENCE

Investigative Standards
Working Group

PERSONNEL SECURITY SURVEY

*Investigative Scope And Adjudicative
Procedures Among Intelligence
Community Agencies*

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Investigative Scope and Adjudicative Procedures Among Intelligence Community Agencies

Personnel Security Survey

**Report of Investigative Standards
Working Group**

*DCI Security Committee
May 1980*

DIRECTOR OF CENTRAL INTELLIGENCE

Security Committee

INVESTIGATIVE STANDARDS WORKING GROUP

SECOM-D-194
April 28, 1980

MEMORANDUM TO : Chairman, DCI Security Committee
FROM :
Acting Chairman
Investigative Standards Working Group
SUBJECT : Personnel Security Survey

STAT

1. As instructed by the Security Committee in 1978, the Investigative Standards Working Group conducted a survey of background investigations used to make clearance decisions by the Intelligence Community's member agencies. More than 5,000 cases were carefully examined in an effort to evaluate the productivity of sources and various periods of coverage in the background investigations.

2. Under the direction and leadership of the Working Group has now completed its work on that task and our report is attached to this letter of transmittal. Conclusions in the report should serve as the factual basis for some important changes to investigative and adjudicative standards for the entire Intelligence Community.

STAT

3. With these conclusions in mind, the Working Group has unanimously approved a number of specific recommendations which will be transmitted to you separately.

STAT



Chairman, DCI Security Committee

6 May 1980

Date

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Investigative Scope and Adjudicative Procedures Among Intelligence Community Agencies

Section I

Introduction

Under the aegis of the DCI Security Committee, the Investigative Standards Working Group has compiled and analyzed a considerable amount of data on background investigations used in making clearance decisions for access to sensitive compartmented information (SCI) and other sensitive information by the Security Committee's member agencies.

Objectives

This project is based on a survey of background investigations adjudicated between October 1, 1978 and January 31, 1979 and is a continuation of an earlier pilot study initiated in the Spring of 1977 to analyze the effectiveness of background investigations. The program's primary objective is to determine the productivity of sources or groups of sources; the second objective is to assess the productivity of various periods of coverage in the background investigations.

It is recognized that the quality of information produced by a background investigation, whether adverse data or positive information, will depend on a variety of factors including the following:

1. the general quality of the particular group of applicants;
2. the scope of the investigation including:
 - a. the period of coverage in terms of years; and,
 - b. the number of contacts made;
3. the quality of the investigation including:
 - a. the nature of the sources contacted;
 - b. the mode of contact;
 - c. the quality or thoroughness of the contact including:
 - 1) the depth of the inquiry or questioning; and
 - 2) the accuracy and candor of the source.

Should it be possible to quantify these factors, even relatively, they should be amenable to analytical techniques such as regression analysis to identify areas for improvement in the program. It is important, however, to recognize the narrow focus of this particular phase of the validation project. It is limited to an examination of two factors only, the period of coverage and the types of sources producing adverse information.

Neither the pilot project nor the current study addresses other aspects of the background investigation such as relative costs or some of the more subtle qualitative features such as the need to establish continuity of identity or the need to detect fraudulent identity. Moreover, this study does not address the merits of positive reporting which, together with the quantitative and qualitative factors enumerated above, would contribute to the general level of assurance available in a program of this nature.

The pilot project was conducted in the Spring of 1977 by five participating member agencies. That report is shown in full at Appendix A. Briefly, its findings were that a personal interview of the subject or applicant is useful and productive and probably should be used more frequently than it is. The pilot project also found that the National Agency Check (NAC) is productive but not so much so that it should be relied upon exclusively or even predominantly as a means of assuring trustworthiness for access to sensitive information. The pilot project further disclosed that some sources do in fact overlap or duplicate productivity of other sources and that a more determined effort to identify principal sources or groups of sources could lead to some improvement in efficiency. Another major

finding disclosed that investigations with periods of coverage less than ten years risked losing significant amounts of adverse data. As its final conclusion, the pilot study recommended that the analysis be continued with a special effort to broaden the data base both in terms of the number of sample cases reviewed and the number of agencies participating. That recommendation led directly to the current phase of the program.

General Nomenclature

Ten of the Security Committee's member agencies participated in the latest survey. The sample contained 5,204 background investigations. Adverse information was disclosed about applicants in 1,261 of the cases and 254 of them were resolved against the individual. Due to some procedural differences in agency practice, the term "resolved against" was defined to include cases in which the individual was denied security clearance or in which he was not hired for suitability reasons based on the background investigation regardless of what decision may have been made concerning security clearance. Each case permitted identification of as many as four separate factors which influenced the decision to resolve for or against an individual. Of the 1,261 cases which revealed adverse data, 1,730 separate factors were noted. In turn, each factor permitted the identification of (1) a broad category of adverse data, (2) a more detailed sub-category, (3) the age of the data or the minimum period of coverage the investigation would have required to capture a specific category of adverse data (entitled, "years ago"), and (4) the various sources, including the subject himself, which revealed the adverse data.

Included as Appendix B are the specific instructions given to adjudicators and evaluators who compiled data for this project.

Investigations included in this survey were conducted principally by five agencies: the Defense Investigative Service, the Office of Personnel Management, the Federal Bureau of Investigation, the Central Intelligence Agency, and the State Department. Investigations conducted to determine SCI access were expected to meet the standards of DCID-1/14. Most of the investigations conducted for other purposes, including

Top Secret access or appointment to sensitive positions, were accorded less stringent scoping although some actually surpassed the requirements of DCID-1/14. Figure I-1 depicts graphically the scope of the various investigations examined in this survey.

Some observations are necessary concerning the samples submitted by each agency. Due to its large volume, Agency One selected one out of every five cases. Agency Five selected every case passing through during the target period but reported that, due to several factors, its sample was unusually low at that particular time. Thus, for the four-month period of this survey, its sample represented only six percent of the 2,510 applicant cases processed by Agency Five in Fiscal Year 1979. Agency Eleven reported that its sample related exclusively to applicants for officer level positions, a group that might be assumed to be characterized by relatively fewer adverse factors than the general population.

Productivity Index

An analytical technique used frequently throughout this study is the "productivity index." While it is instructive to review some of the data in terms of gross frequencies or percentages, occasionally it seems to be more appropriate to consider a specific item of data in relation to some other. On the one hand, it is helpful to have the age of adverse data expressed in terms of the respective percentages of different age groups (see, for example, Figure III-1). On the other hand, to appreciate fully the productivity of a particular source, such as a credit check, it is necessary to examine the data in relation to how many times the credit check was performed. We therefore developed the "productivity index," which is arrived at by dividing the percentage of a subset by a corresponding percentage of the whole set. Using the credit check example, we might divide the percentage of cases in which the credit check produced adverse information by the percentage of cases in which the credit check was conducted. There are several variations of this same theme throughout the study. By using percentages, we are able to arrive at an equation which, if portrayed graphically, would

Figure I-1

Scope of Investigations

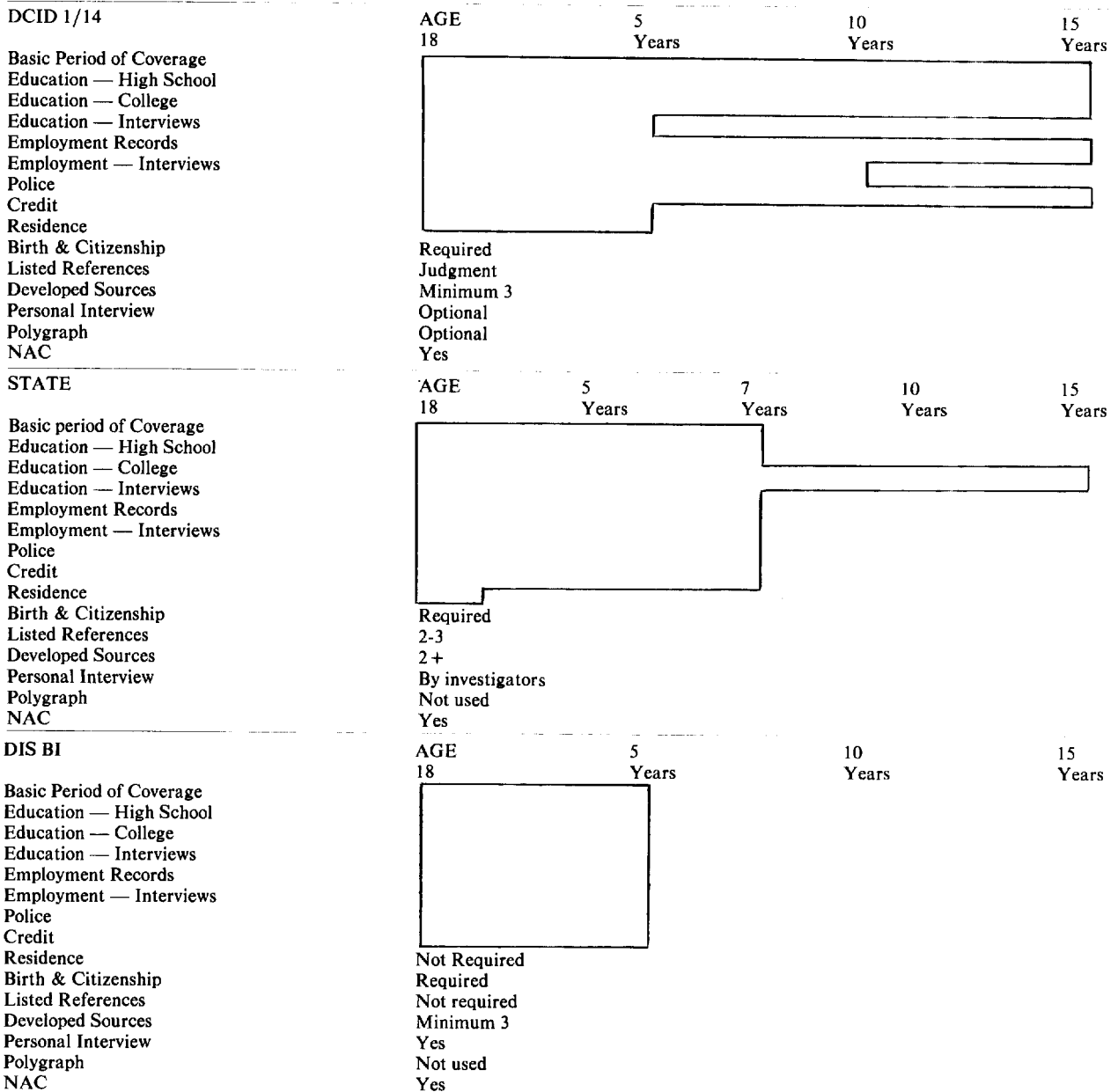


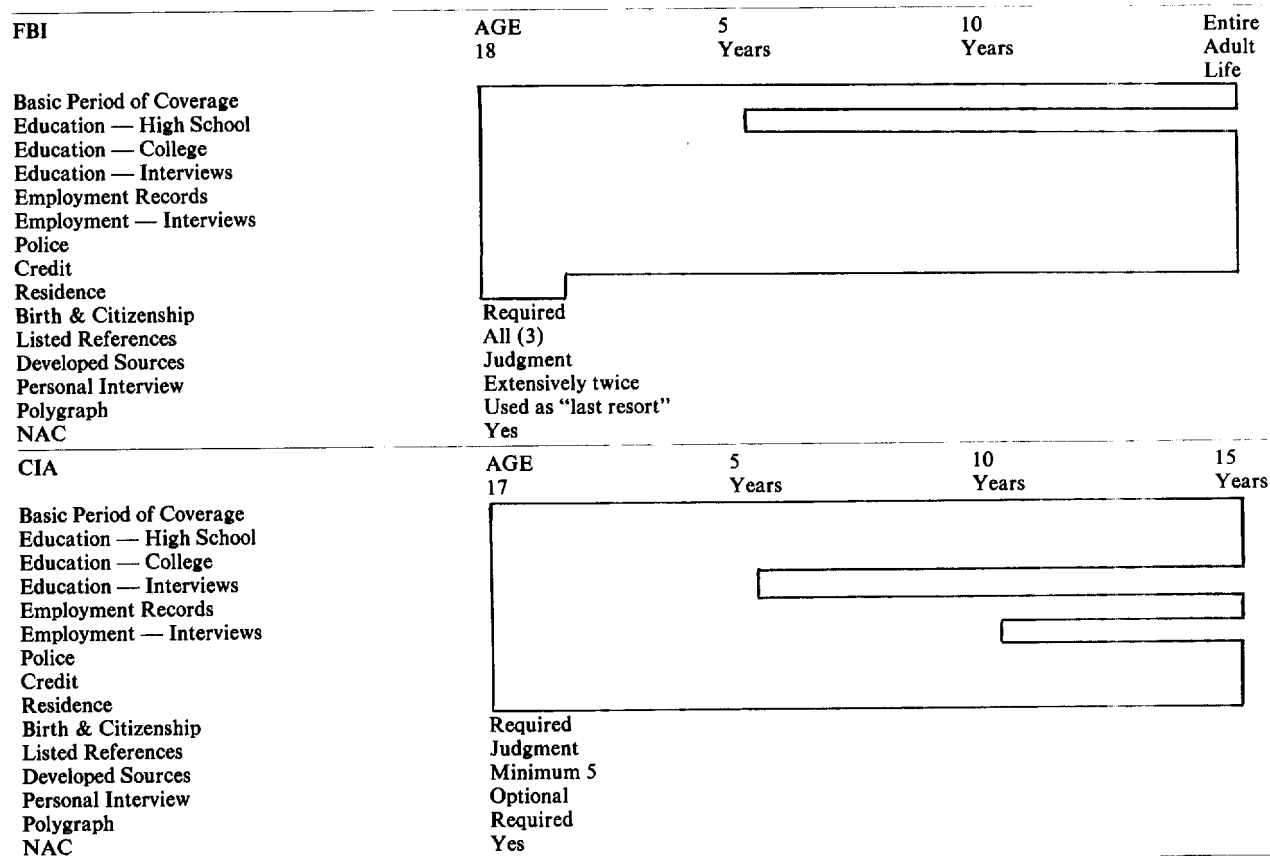
Figure I-1 (Continued)

Scope of Investigations

DIS - SBI (DCID 1/14)	AGE 18	5 Years	10 Years	15 Years
Basic Period of Coverage				
Education — High School				
Education — College				
Education — Interviews				
Employment Records				
Employment — Interviews				
Police				
Credit				
Residence				
Birth & Citizenship				
Listed References	Required			
Developed Sources	Judgment			
Personal Interview	Minimum 3			
Polygraph	Yes			
NAC	Not used			
	Yes			
OPM	AGE 18	5 Years	10 Years	15 Years
Basic Period of Coverage				
Education — High School				
Education — College				
Education — Interviews				
Employment Records				
Employment — Interviews				
Police				
Credit				
Residence				
Birth & Citizenship				
Listed References	Checked if considered necessary			
Developed Sources	Judgment			
Personal Interview	Judgment			
Polygraph	For clarification of allegations			
NAC	Not used			
	Yes			
TREASURY	AGE 18	5 Years	10 Years	15 Years
Basic Period of Coverage				
Education — High School				
Education — College				
Education — Interviews				
Employment Records				
Employment — Interviews				
Police				
Credit				
Residence				
Birth & Citizenship				
Listed References	Checked if considered necessary			
Developed Sources	3			
Personal Interview	2-3			
Polygraph	For Investigative Personnel			
NAC	Used as "last resort" in DCI 1/14 cases			
	Yes			

Figure I-1 (Continued)

Scope of Investigations



be a simple line graph with an upward slope of one. Thus, an index of one signifies that, in quantitative terms at least, the results were proportional to the effort. Where productivity is desirable, the higher the index, the more effective is the particular procedure under review. On the other hand, where productivity is not considered to be desirable, such as subject falsifications, a lower index is more effective. In reviewing any of the tables in this study using the productivity index,

it should be remembered that the indices are relative only with respect to other items being considered in the same particular review.

Correction of Errors

Errors in the data base appeared quite early and continued to be discovered as analysis progressed. The complex nature of the IBM card itself was considered

to be a prime cause of the error rate. Wherever possible, known errors were corrected and omissions were disregarded or stated as "not shown." The errors were basically of two types, errors or omissions in the original marking of the IBM card and errors in the machine reading of markings on the cards. For example, the "year of birth" was apparently confused with the column for the "year of this investigation" in several instances and was shown as the current year; i.e., 1978 or 1979 are obvious errors. Corrections were made by referring back to the original case or by reviewing the IBM cards for possible machine reading errors. Other corrections were made by deduction in cards which failed to list a source as being checked in "this investigation," but listed that source in any of the four "factors" as the source of adverse information. Errors of omission, failure to mark the IBM card, were usually disregarded in the analysis of the data base in an effort to use only that information which appeared sound and complete.

Assumptions and Parameters

This study does not consider the recognized needs (1) to assure continuity of identity, or (2) to acquire *positive* information about the individual to permit a finding of trustworthiness. It is limited to an analysis of the effectiveness of the background investigation in identifying significant *adverse* information.

This study does not address the question of what the Background Investigation (BI) misses, if anything. It is limited to assessing the sources from which we *have* acquired adverse information and the minimum scope needed to assure various degrees of probability of acquiring the requisite lead to that information.

It is recognized that there is probably no way to determine how many individuals are deterred from applying for a government position by the knowledge that a BI will be conducted. The study revealed some suggestion that this, in fact, occurs, but we have no way to measure that phenomena.

Any case in which potentially adverse information was discovered, no matter what the source, was extended as

far back in time as necessary to resolve the matter. Such cases were expanded to include corroboration of data amenable to proof as well as acquisition of other data to offset or give perspective to information not capable of direct confirmation or refutation.

This study does not address the matter of costs, at least directly. Costs are, of course a valid (although possibly over-emphasized) factor and ought to be considered before any final decision is made concerning scope. This study does seek to identify the percentage of cases which, due to the age of the applicant, would require up to 15 years of coverage under the most rigorous standard. This should give at least a general idea of the added burden on resources which can be attributed to the higher standards.

This study assumes that at least the appropriate Federal agencies were checked and, unlike the 1977 Pilot Study, various elements of the National Agency Check (NAC) are examined separately.

This study does not assess possible changes in the quality of sources although similar follow-on surveys over a period of years could illustrate some changes. For example, it should be possible to show the effects, if any, of "privacy" laws, the Buckley Amendment, Law Enforcement Assistance Administration initiatives, fair credit laws, etc., on the candor of certain types of sources.

No consideration is given to significant events, such as on the international scene or in the individual's own life, which might suggest a specific period of coverage. For example, we take no cognizance in this study of events comparable to the German attack on the USSR which prompted a 180-degree turnaround in the Communist Party line. It is assumed that any indication, whether from the applicant or from some other source, that the individual had spent a substantial period of time in Eastern Europe would have moved the case from a routine period of coverage to the expanded variety noted above.

This study does not assess the significance of such variations in background patterns as urban, suburban, or rural residences; frequent moves vs. a more static life; or similar factors. The study may justify some conclusion regarding the relative effectiveness of neighborhood checks, for example, but does not break it down further to show whether, for example, rural neighbors are more candid or productive than urban neighbors. Nor does it show the effect of short-term acquaintance vis-a-vis longer term. Furthermore, it is recognized that some of the arbitrary decisions as to how to log an incident in the time frame may distort the reality of the case. For example, an applicant has lived in the same house for the past ten years. His neighbor has known him all that time and recalls a potentially significant incident which occurred seven years ago. In theory, a one-year period of coverage for neighborhood checks would have revealed this information, but we log it as seven years back to show that, for this case (and its value as a statistic), a seven-year period of coverage would be required to capture the

data. It is clear that to acquire it the investigator would have had to find a knowledgeable neighbor who knew the applicant seven years ago. Moreover, in this case at least, a seven-year period of coverage would have been no greater a burden on investigative resources than a one-year period of coverage. As our data collection is set up currently, however, we are unable to make these finer distinctions.

This study does not include a variety of other types of data which might be of interest to the security manager and which could be acquired easily by expanding the data collection card. For example, data concerning the number of contacts per investigation and the number of sources requesting confidentiality could be included in the future. With minor modification it may be possible to learn more about the adjudication process, what kinds of information are more significant than others, and what factors, such as the passage of time, influence the decisions. But these matters should await later phases of the program.

Section II

General Data and Observations

Figures II-1 and II-2 portray much of the basic data by agency. It is intriguing to observe the many similarities as well as differences in data from agency to agency and occasionally it is very instructive to inquire as to the reasons for differences. The mean and median ages of subjects of investigation in this study (lines 8 and 9 of Figure II-1), as well as more detailed data in Appendices C-1 through C-11, could be useful in assessing the cost implications of any contemplated change in period of coverage. It should be noted that the frequencies and percentages of cases with particular target periods of coverage for the investigations used in this study (lines 11-24 of Figure II-1) include the effect of any previous investigation which might have been conducted on the individual. Thus, a 40-year old individual who had been the subject of a background investigation six years ago but who was now being considered for SCI access will be counted in the row for a 6-7 year period of coverage. It is noted that there are 176 cases which appeared to require a target period of coverage of 16 or more years. It is not entirely clear why there were so many cases of this nature but 89 of them occurred in Agency Two. Given the large number of cases conducted for SCI access by this agency, it may be that the older periods of coverage were required by the sensitive assignment of senior officers who had not been cleared in many years and for whom a file review reflected a need to cover some particular point beyond the normal 15-year period of coverage.

Although the data disclosed in this survey identified the specific period of coverage and the types of sources contacted in each case, it did not include the number of contacts made. The number of contacts per case is known to vary from one investigating agency to another but precise data were not available. It must be assumed that there is at least some relationship between the number of contacts and the productivity of significant data and any further study should include the acquisition of figures on the number of contacts per case and by type of source as well as by mode of contact.

A review of the summary of adverse data (Figure II-2) reveals a number of points of interest. The range in the percentage of total cases revealing adverse data is but one example (see line 2). To some extent this range might be attributed to differences in agency interpretation of the definition of adverse data. Lines 3-8 were therefore calculated to identify six less significant kinds of adverse data or, in the case of lines 3 and 4, data easily verifiable by means other than background investigation. Even after deleting these particular data from the total of adverse, however, there still remain substantial variations in the percentages of adverse from one agency to another (see line 12).

Adjudication Process

Lines 19 and following reflect the adjudication process by agency. The apparent overlapping in terms used in this section was designed deliberately to accommodate the diverse practices from one agency to the next and specifically to account for the situation in which an individual might be found acceptable on narrow security grounds but unqualified for more general suitability reasons. Line 31 represents the total cases resolved against the individual by agency and, noting the percentages in line 32, it is apparent that the wide disparity from agency to agency continues. The chart in Appendix C-12 shows the data from another perspective. Scattergrams correlating the percentages of adverse and "resolved against" cases by the mean period of coverage, shown in Figure II-3, seem to offer no help in explaining the differences. The ratio of data resolved against to data resolved in favor of the individual, shown in Figure II-2, line 36, is but another way of comparing the practices of one agency to those of another. The lower this ratio, the greater the amount of adverse data resolved in favor of the individual. Conversely, the higher this number, the greater the amount of adverse data was resolved against the individual. The Working Group was unable to estab-

Figure II-1

General Data by Agency

Line No.	Agency	1	2	3	4	5	6	8	9	11	12	Totals
1.	Total Cases	301	957	460	1,014	155	458	346	507	136	870	5,204
	Purpose of Investigation											
2.	Not Shown	2	10	7	11	7	1	4	22	—	11	75
3.	SCI	299	918	450	—	—	440	16	90	—	—	2,213
4.	TS	—	—	3	—	148	15	99	393	136	47	841
5.	Q	—	—	—	1,003	—	—	—	1	—	—	1,004
6.	Crypto	—	29	—	—	—	—	—	—	—	—	29
7.	Other	—	—	—	—	—	2	227	1	—	812	1,042
8.	Age When Investigated (Mean)	25.3	27.7	34.7	36.4	31.7	33.5	29.2	31.6	29.1	30.8	31.5
9.	Age When Investigated (Median)	22	26	34	34	28	31	27	29	29	29	29
10.	This Investigation POC (Mean)	7.1	9.4	11.4	5.1	6.5	8.8	8.3	9.2	13	5.9	7.6
	Cases by POC											
11.	Not Shown	3	29	23	26	11	5	18	61	1	34	211
12.	1-5	172	359	81	970	24	147	128	142	4	654	2,681
13.	6-7	27	61	67	4	113	80	25	67	8	100	552
14.	8-10	34	127	68	8	5	96	136	78	47	56	655
15.	11-15	46	292	191	4	2	128	31	157	61	17	929
16.	16-20	17	42	11	2	—	1	5	2	15	5	100
17.	21+	2	47	19	—	—	1	3	—	—	4	76
	Percent of Cases by POC											
18.	Not Shown	1	3	5	2.6	7.1	1.1	5.2	12	0.7	3.9	
19.	1-5	57.1	37.5	17.6	95.7	11	32.1	37	28	2.9	75.2	
20.	6-7	9	6.4	14.6	0.4	72.9	17.5	7.2	13.2	5.9	11.5	
21.	8-10	11.3	13.3	14.8	0.8	3.2	21	39.3	15.4	34.6	6.4	
22.	11-15	15.3	30.5	41.5	0.4	1.3	28	9	31	44.9	2	
23.	16-20	5.6	4.4	2.4	0.2	—	0.2	1.5	0.4	11	0.6	
24.	21+	0.7	4.9	4.1	—	—	0.2	0.9	—	—	0.5	

Figure II-2

Adverse Data By Agency

Line No.	Agency	1	2	3	4	5	6	8	9	11	12	Totals
1.	Adverse Cases	82	234	109	243	37	59	172	236	52	37	1,261
2.	Percent of Total Cases	27	24	24	24	24	13	50	47	38	4	24%
Selected Data: Adverse Cases												
3.	Subject Not Citizen	1	—	1	—	—	1	1	—	—	—	4
4.	Spouse Not Citizen	3	7	5	1	—	2	—	1	—	—	19
5.	Alien Relatives, N.H.	1	13	14	4	—	11	—	14	—	1	58
6.	Drug Experimentation	13	26	7	15	23	4	10	94	3	—	195
7.	Juvenile Record	4	25	4	3	—	2	4	—	—	1	43
8.	Minor Traffic Record	3	40	9	27	—	—	1	3	—	10	93
9.	Total Selected Adverse Cases	25	111	40	50	23	20	16	112	3	12	412
10.	Percent of Total Cases	8	12	9	5	15	4	5	22	2	1	8%
11.	All Other Adverse Cases	57	123	69	193	14	39	156	124	49	25	849
12.	Percent of Total Cases	19	13	15	19	9	9	45	24	36	3	16%
Selected Data: Resolved Against Cases												
13.	Subject Not Citizen	1	—	1	—	1	—	—	—	—	—	3
14.	Spouse Not Citizen	2	—	1	—	—	—	—	—	—	—	3
15.	Alien Relatives, N.H.	—	—	1	—	—	—	—	2	—	—	3
16.	Drug Experimentation	5	1	—	—	—	—	8	7	3	—	24
17.	Juvenile Record	1	1	—	—	—	—	1	—	—	—	3
18.	Minor Traffic Record	—	—	2	—	—	—	—	—	—	—	2
Adjudications (All Cases)												
19.	Not Shown	3	25	8	26	1	1	18	7	—	46	135
20.	Not Hired*	—	—	—	1	—	1	20	29	—	—	51
21.	Retained	—	1	2	—	—	—	120	—	—	—	123
22.	Status Unknown	—	—	1	—	2	7	23	—	—	—	33
23.	Clearance Granted	263	915	409	984	151	445	159	417	84	824	4,651
24.	Granted but Not Hired*	—	—	—	—	—	—	—	2	9	—	11
25.	Granted and Retained	—	—	—	—	—	—	4	—	—	—	4
26.	Granted; Status Unknown	—	1	—	—	1	—	—	—	—	—	2
27.	Denied; Status N.S.*	31	12	40	2	—	3	—	51	—	—	139
28.	Denied; Not Hired*	—	—	—	—	—	—	—	1	43	—	44

Continued on next page.

Figure II-2 (Continued)

Adverse Data By Agency

29.	Denied; Retained*	—	1	—	1	—	—	—	—	—	—	2
30.	Denied; Status Unknown*	4	2	—	—	—	1	—	—	—	—	7
31.	Total Resolved Against*	35	15	40	4	0	5	20	83	52	0	254
32.	Percent of Total Cases	12	2	9	0.4	0	1	6	16	38	0	5%
33.	Percent of Adverse (Line 31 ÷ Line 1)	43	7	36	1.6	0	8	13	35	100	0	20%
34.	Resolved in Favor	47	219	69	239	37	54	152	153	0	37	1,007
35.	Percent of Adverse Resolved in Favor	57	94	63	98	100	93	87	65	0	100	80%
36.	Ratio: Resolved Against to Resolved in Favor (Line 31 ÷ Line 34)	.74	.07	.58	.02	0	.09	.13	.54	1.00	0	.25

NOTE: Asterisks indicate "Resolved Against" cases.

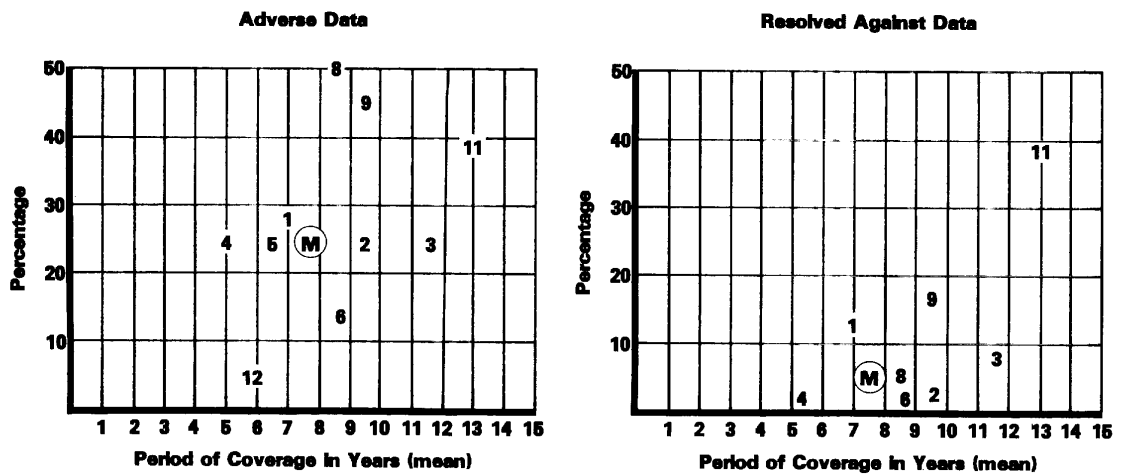


Figure II-3

lish precisely why these differences occurred but concluded that they may be attributable to a number of factors including especially high self-imposed standards by one or more agencies, differences in the populations of persons being considered, and possibly differences in investigative practices.

Categories of Information

In reviewing the resolved against data by agency, it is noted that "Drugs and Alcohol" figured the most prominently with 30% of the citations. It is further noted that Agencies One, Three, and Nine accounted for more than three-fourths of the citations for that category. The next most frequently cited categories were "Irresponsibility" (16% of the citations), "Dishonesty" (11%), "Financial" (9%), and "Immorality" (8%).

appear to be significant differences from one agency to the next. It is noted for example that Agency Eight has a high proportion of the adverse data in categories "Subject Cooperation," "Dishonesty," and "Irresponsibility." These same categories figure prominently in the resolved against data for the same agency. As will be seen in Figure II-6, that agency had an extremely high ratio of positive police checks and also had the greatest return on FBI fingerprint checks. It is noted that Agencies Two and Four also had high numbers in the "Criminal" category and that they, too, had higher than average returns from the police and FBI fingerprint checks.

Figures II-4 and II-5 depict the categories of adverse data and resolved against data by agency. Again, there

Figure II-4

Table of Categories by Agency
(All Adverse Data) (All Factors)

Agency	1	2	3	4	5	6	8	9	11	12	Totals	Percent of Total (1,730)
Category												
A Subject Cooperation	10	6	2	5	1	—	92	3	2	1	122	7.1
B Loyalty	—	1	—	2	1	1	—	2	—	1	8	0.4
C Foreign Connections	7	25	22	6	—	17	1	25	1	2	106	6.1
D Dishonesty	10	19	8	20	—	2	50	19	2	1	131	7.6
E Irresponsibility	7	40	8	24	3	7	94	16	27	2	228	13.8
F Immoral Conduct	6	5	4	24	3	—	7	32	3	6	90	5.2
G Financial	11	30	19	24	1	1	49	6	2	6	149	8.6
H Medical	8	18	6	15	4	3	9	8	3	5	79	4.6
I Drugs or Alcohol	37	53	36	67	25	15	41	171	6	1	452	26.1
J Criminal	13	92	22	109	4	12	24	7	—	17	300	17.3
K Other	—	10	12	4	—	6	8	11	13	1	65	3.8
Totals	109	299	139	300	42	64	375	300	59	43	1,730	
Number of Cases with Adverse Information	82	234	109	243	37	59	172	236	52	37	1,261	
Total Number of Cases	301	957	460	1,014	155	458	346	507	136	870	5,204	

Figure II-5

Table of Categories by Agency
(All "Resolved Against" Data) (All Factors)

Agency	1	2	3	4	5	6	8	9	11	12	Totals	Percent of Total (409)
Category												
A Subject Cooperation	9	2	2	—	—	—	11	—	2	—	26	6.4
B Loyalty	—	—	—	—	—	1	—	1	—	—	2	0.5
C Foreign Connections	4	—	3	—	—	1	—	7	1	—	16	3.9
D Dishonesty	8	5	5	3	—	1	10	11	2	—	45	11
E Irresponsibility	2	4	5	1	—	—	16	11	27	—	66	16.1
F Immoral Conduct	2	1	2	1	—	—	—	25	3	—	34	8.3
G Financial	3	9	15	1	—	—	5	2	2	—	37	9.1
H Medical	4	—	5	1	—	—	1	2	3	—	16	3.9
I Drugs or Alcohol	23	7	16	4	—	3	7	58	6	—	124	30.3
J Criminal	5	3	5	1	—	—	4	2	—	—	20	5
K Other	—	1	6	—	—	—	2	1	13	—	23	5.5
Totals	60	32	64	12	—	6	56	120	59	—	409	
Total Number of Resolved Against Cases	35	15	40	4	—	5	20	83	52	—	254	
Total Number of Cases	301	957	460	1,014	155	458	346	507	136	870	5,204	

Observations Involving Selected Sources

Figure II-6 depicts data concerning selected sources arranged by agency. It is interesting to note that police checks seemed to be very productive for some agencies and much less so for others. The same phenomenon seems to occur with regard to the FBI fingerprint checks. It was concluded that the nature of Agencies Five, Six, Nine, and Eleven is such that there may be a "natural" screening process in the sense that the individuals under consideration as a rule require qualifications not found across the total spectrum of our society, whereas the individuals considered by Agencies One, Two, Three, Four, and possibly Eight may be more closely representative of the entire population. Simply knowing that one will have to undergo a security screening process may deter some individuals from applying for certain positions or with certain agencies.

Only Agencies Four and Eight reported significant results from the NAC-OPM check. It was noted that both of these are large civilian agencies and that the phenomenon may be due to the fact of a highly mobile work force. It was further noted that Agencies One, Two, and Three reported a large percentage of returns from the NAC-DOD check. These are three of the four military agencies involved in the study and it is assumed that the phenomenon is due in part to the fact that the DOD personnel file would be included in this check.

In passing it was noted that some agencies conducting investigations for SCI access failed to report developed sources in certain cases even though DCID 1/14 required such checks.

Figure II-6

**Observations Involving Selected Sources of Adverse Data
(By Agency)**

Agency	1	2	3	4	5	6	8	9	11	12	Totals
Total Cases	301	957	460	1,014	155	458	346	507	136	870	5,204
Police Checks (Positive)	21	91	48	98	3	9	193	—	6	19	488
Percent of Total	7.0	9.5	10.4	9.7	1.9	2.0	55.8	—	4.4	2.2	9.4
FBI Fingerprint (Positive)	5	8	10	23	—	5	49	—	—	—	100
Percent of Total	1.6	0.8	2.2	2.3	—	1.1	14.2	—	—	—	1.9
NAC-OPM (Positive)	—	—	1	38	1	1	91	2	—	2	136
Percent of Total	—	—	0.2	3.7	0.6	0.2	26.3	0.4	—	0.2	2.6
NAC-DOD (Positive)	27	38	95	14	—	11	11	2	—	—	198
Percent of Total	9.0	4.0	20.7	1.4	—	2.4	3.2	0.4	—	—	3.8
Total SCI Cases	299	918	450	—	—	440	16	90	—	—	2,213
SCI Cases without Developed Sources	9	21	58	—	—	12	1	3	—	—	104
Percent of SCI Cases	3.0	2.3	12.9	—	—	2.7	6.3	3.3	—	—	4.7

Figures II-7 and II-8 depict adverse data and resolved against data by categories and subcategories for each of the four possible factors for each case.

Although not shown in these figures, the following totals should be kept in mind when reviewing the data:

Case Distribution

Total Cases	5,204
Adverse Cases	1,261
Resolved Against Cases	254

Factor Distribution

	Adverse	Resolved Against
Cases with 1 factor only	1,261	254
Cases with 2 factors	334	108
Cases with 3 factors	99	35
Cases with 4 factors	36	12
Total Factors	1,730	409

It should be noted that there will be instances in these two charts where the figures do not add up accurately. This is due to the fact that occasionally data was not shown or only partially shown. For example, an adjudicator completing the survey might have indicated a category but failed to note the subcategory. The data is still extremely interesting to review, however, particularly Figure II-9, which shows the percentage of adverse data that figured in eventual denials or not hired. It must be noted, however, that some of the adverse data consisted of allegations which presumably were resolved in the subject's favor by investigation and interview. Thus, it is noted that only 56% of those cited in the "Drug Trafficking" subcategory resulted in denials or not hired. It is also

noted in passing that "Drug Experimentation" was cited as a subcategory in only 4% of the total cases investigated and that all drug-related subcategories accounted for less than 7% of the total cases. This figure is substantially lower than the 46% reported by one agency in a recent study which covered several thousand cases over a period of five years and with a sample population which can be assumed to be reasonably representative of the general population of our society. Even if it may be granted that the populations of certain of the agencies participating in the current survey were subjected to a sort of "natural screening," the figure still seems surprisingly low. Referring to Figure II-2, line 6, we note that one agency, Agency Nine, accounted for 93 of the cases (or 18% of its total cases) in which drug experimentation was cited. Agency Five accounted for 23 (or 14% of its total). Both of these agencies have intensive personal interview programs and one uses the polygraph to supplement the personal interview. Although a more detailed analysis of the various types of personal interview will be found in Section VI, the Working Group believes that the unexpectedly low percentage of drug-related citations is probably due to the variations from agency to agency in the matter of personal interviews. The "natural screening" which seems to occur with some agencies may also account for the phenomenon but we believe further analysis is required before any further conclusion is reached. To complete this review of the categories and subcategories of adverse data, the reader is referred to Appendix C-13 for a description of the data identified in the category, "other." Although some of these data could have been included under specifically identified headings and some others, e.g., medical disqualifications not disclosed by investigation, no adjustments in the data were made.

Figure II-7

**Categories and Sub-Categories of Information
(Adverse Factors)**

	F1	F2	F3	F4	Totals
A. Subject Cooperation					122
1. Refusal to furnish information	5		2		7
2. Refusal to give release	1				1
3. Falsification in papers or interview	18	56	25	15	114
4. False identity					
B. Loyalty					8
1. Treason					
2. Espionage					
3. Sabotage					
4. Subversion	1				1
5. Disaffection	2	3			5
6. Conflict of security interest	2				2
C. Foreign Connections	4	1			5* 106
1. Subject is not US citizen	4				4
2. Spouse not citizen	19				19
3. Relatives potential "hostage"	11	1			12
4. Alien relatives, "hostage" unlikely	58	3		1	62
5. Life abroad cannot be verified	3	1			4
D. Dishonesty					131
1. Criminal: theft, burglary, forgery, fraud, perjury, etc.	80	23	3		106
2. Non-criminal: lying, cheating, plagiarism, etc.	17	7		1	25
E. Irresponsibility		1			1* 228
1. Violation of security regulations	5		1		6
2. Insubordination, misfeasance	26	12	11	1	50
3. Draft evasion, desertion	3	1	2		6
4. Poor judgment	87	23	8	4	122
5. Indiscreet	9	7	2	1	19
6. Scofflaw	9	10	3	2	24
F. Immoral Conduct	1	1			2* 90
1. Homosexual conduct	21	6	2	1	30
2. Other perverted conduct	6	1			7
3. Heterosexual misconduct	35	12	4		51

Figure II-7 (Continued)

Categories and Sub-Categories of Information
(Adverse Factors)

G. Financial		1			1* 149
1. Excessive indebtedness	29	4	4		37
2. Irresponsibility, refusal to pay debts	65	19	8	3	95
3. Living beyond means, unexplained affluence	1				1
4. Excessive or compulsive gambling					
5. Business bankruptcy	3				3
6. Personal bankruptcy	9	2	1		12
H. Medical	1				1* 79
1. Mental illness or impairment	1	3			4
2. Emotional instability	27	7	3		37
3. Inability to cope with stress	26	10	1		37
I. Drugs or Alcohol	3			1	4* 452
1. Drug experimentation	195	23	3	1	222
2. Drug abuse, rehabilitated	39	9			48
3. Current marijuana use	41	6	1		48
4. Current abuse of other drugs	16				16
5. Alcohol abuse	78	22	3	2	105
6. Drug trafficking	7	1		1	9
J. Criminal (other than above)	2	1			3* 300
1. Juvenile	43	7	1		51
2. Adult: only minor traffic violation	94	19	2		115
3. Adult misdemeanor	94	10	5		109
4. Adult felony	13	8		1	22
K. Other	47	13	4	1	65
Totals	1,261	334	99	36	1,730

* Not identified by sub-category.

Figure II-8

**Categories and Sub-Categories of Information
(Resolved Against Factors)**

	F1	F2	F3	F4	Totals
A. Subject Cooperation					26
1. Refusal to furnish information	2		1		3
2. Refusal to give release					
3. Falsification in papers or interview	9	7	6	1	23
4. False identity					
B. Loyalty					2
1. Treason					
2. Espionage					
3. Sabotage					
4. Subversion					
5. Disaffection		1			1
6. Conflict of security interest	1				1
C. Foreign Connections	2				2*
1. Subject is not US citizen	3				3
2. Spouse not citizen	3				3
3. Relatives potential "hostage"	3	1			4
4. Alien relatives, "hostage" unlikely	3				3
5. Life abroad cannot be verified	1				1
D. Dishonesty					45
1. Criminal: theft, burglary, forgery, fraud, perjury, etc.	22	11	2		35
2. Non-criminal: lying, cheating, plagiarism, etc.	6	4			10
E. Irresponsibility					66
1. Violation of security regulations	1				1
2. Insubordination, misfeasance	2	2	3		7
3. Draft evasion, desertion			1		1
4. Poor judgment	36	6	4	2	48
5. Indiscreet	1	4			5
6. Scofflaw	2			2	4
F. Immoral Conduct	1				1*
1. Homosexual conduct	16	4	2	1	23
2. Other perverted conduct	1	1			2
3. Heterosexual misconduct	2	4	2		8

Figure II-8 (Continued)

**Categories and Sub-Categories of Information
(Resolved Against Factors)**

G. Financial					37
1. Excessive indebtedness	7	1	2		10
2. Irresponsibility, refusal to pay debts	8	11	2	1	22
3. Living beyond means, unexplained affluence					
4. Excessive or compulsive gambling					
5. Business bankruptcy					
6. Personal bankruptcy	3	1	1		5
H. Medical					16
1. Mental illness or impairment		2			2
2. Emotional instability	4	3	1		8
3. Inability to cope with stress	4	2			6
I. Drugs or Alcohol				1	1*
1. Drug experimentation	19	13	1	1	34
2. Drug abuse, rehabilitated	8	6			14
3. Current marijuana use	27	6	1		34
4. Current abuse of other drugs	14				14
5. Alcohol abuse	11	8	2	1	22
6. Drug trafficking	4			1	5
J. Criminal (other than above)					20
1. Juvenile	3		1		4
2. Adult: only minor traffic violation	2	2	1		5
3. Adult misdemeanor		1	1		2
4. Adult felony	4	4		1	9
K. Other	19	3	1		23
Totals	254	108	35	12	409

* Not identified by sub-category.

Figure II-9**Categories and Sub-Categories of Information**

	Ratios of Resolved Against to Adverse Factors
A. Subject Cooperation	.21
1. Refusal to furnish information	.43
2. Refusal to give release	—
3. Falsification in papers or interview	.20
4. False identity	—
B. Loyalty	.25
1. Treason	—
2. Espionage	—
3. Sabotage	—
4. Subversion	—
5. Disaffection	.20
6. Conflict of security interest	.50
C. Foreign Connections	.15
1. Subject is not US citizen	.75
2. Spouse not citizen	.16
3. Relatives potential "hostage"	.33
4. Alien relatives, "hostage" unlikely	.05
5. Life abroad cannot be verified	.25
D. Dishonesty	.34
1. Criminal: theft, burglary, forgery, fraud, perjury, etc.	.33
2. Non-criminal: lying, cheating, plagiarism, etc.	.40
E. Irresponsibility	.29
1. Violation of security regulations	.17
2. Insubordination, misfeasance	.14
3. Draft evasion, desertion	.17
4. Poor judgment	.39
5. Indiscreet	.26
6. Scofflaw	.17
F. Immoral Conduct	.38
1. Homosexual conduct	.77
2. Other perverted conduct	.29
3. Heterosexual misconduct	.16

Figure II-9 (Continued)

Categories and Sub-Categories of Information

G. Financial		.25
1. Excessive indebtedness	.27	
2. Irresponsibility, refusal to pay debts	.23	
3. Living beyond means, unexplained affluence	—	
4. Excessive or compulsive gambling	—	
5. Business bankruptcy	—	
6. Personal bankruptcy	.42	
H. Medical		.20
1. Mental illness or impairment	.50	
2. Emotional instability	.22	
3. Inability to cope with stress	.16	
I. Drugs or Alcohol		.27
1. Drug experimentation	.15	
2. Drug abuse, rehabilitated	.29	
3. Current marijuana use	.71	
4. Current abuse of other drugs	.88	
5. Alcohol abuse	.21	
6. Drug trafficking	.56	
J. Criminal (other than above)		.07
1. Juvenile	.08	
2. Adult: only minor traffic violation	.04	
3. Adult misdemeanor	.02	
4. Adult felony	.41	
K. Other		.35

Productivity According to Purpose of Investigation

The next review was an analysis of the productivity of adverse data according to the purpose of the investigation; the basic data is summarized in Figure II-10. This chart makes use of the index concept by which an attempt is made to show the productivity of a subset as compared to the subset's relative share of effort. For example, it is seen that the investigations conducted for SCI access did not produce adverse data or resolved against data in proportion to their share of the total cases. On the other hand, investigations conducted for Top Secret clearance produced both adverse data and resolved against data in excess of their share of the total cases. The "Q" clearance cases produced about their share of adverse data but when it came to resolved against cases, their ratio was far below all others. There are a number of possible reasons to explain the relatively lower productivity of the SCI cases as compared to the Top Secret cases. Among them are different agency investigative standards, different agency adjudication standards, and, finally, the skewing effect of a previous investigation which seems to be more prevalent with the SCI group cases. It is noted elsewhere that 40% of the SCI access investigations had previously been subjected to either a BI or an SBI. (See Section IV for further details.) A careful review of the sample indicated that a substantial number of Top Secret cases involved the use of the polygraph and another significant portion involved special agent applicant cases for the FBI.

Assuming that these cases would be more thoroughly investigated and more stringently adjudicated, their data was omitted from a recalculation of the productivity indices. The full data are shown in Appendix C-14 but the indices themselves are depicted in Figure II-11. Although the influence of the polygraph will be assessed in more detail in Section VI, Figure II-12 compares differences between investigations in which the polygraph was used and those in which it was not. Investigations conducted for SCI access or Top Secret clearance, including the FBI sample, produced a resolved against rate of 5.8%. When preemployment and other miscellaneous investigations were added to the total, the resolved against rate was reduced to 3.8%. Interestingly enough, the DCI's intelligence community SCI access resolved against rate was 5.1% for 1978, as cited in a 1979 Congressional Committee Report.*

In contrast, the current survey shows that, where the polygraph was used in addition to ordinary investigative sources, the resolved against rate was 21.4%, almost four times as high as the rate for the other investigations.

*Subcommittee on Oversight, Permanent Select Committee on Intelligence, U.S. House of Representatives, Staff Report, "Security Clearance Procedures in the Intelligence Agencies," September 1979, Pages 8 and 13.

Figure II-10
Productivity Indices
According to Purpose of Investigation

	Not Shown	SCI	TS	Q	Crypto	Other	Totals
Total Cases	75	2,213	841	1,004	29	1,042	5,204
Percent of Total	1.4	43	16	19	0.5	20	
Adverse Cases	16	478	326	242	—	199	1,261
Percent of Total Adverse	1.27	37.91	25.85	19.19	—	15.78	
Index*	.91	.88	1.62	1.01	—	.79	
Resolved Against Cases	5	94	133	4	—	18	254
Percent of Total Resolved Against	1.97	37.01	52.36	1.57	—	7.08	
Index**	1.41	.86	3.27	.08	—	.35	

* Indices derived from dividing Percentage of Total Adverse by Percentage of Total Cases.

** Indices derived from dividing Percentage of Total Resolved Against by Percentage of Total Cases.

Figure II-11

**Productivity Indices
According to Purpose of Investigation
(Omitting CIA Polygraph and FBI Cases)**

	SCI	TS	Q	Crypto	Other
Adverse Data Index (1,010 Cases)	1.01	.92	1.13	—	.90
Resolved Against Data Index (132 Cases)	1.53	1.05	.14	—	.62

Figure II-12

**General Adverse and Resolved Against Data:
Comparison of SCI Access (SBI) and
TS (BI) Cases with Others**

	Total Cases	No. of Adverse Cases	Adverse as Pct of Total Cases	No. of Resolved Against Cases	Resolved Against as Pct of Total Cases
SCI*	2,213	478	21.6	94	4.2
TS**	378	75	19.8	11	2.9
TS-FBI***	136	52	38.2	52	38.2
Sub-total	2,727	605	22.2	157	5.8
Others	2,150	457	21.3	27	1.3
Sub-total	4,877	1,062	22.8	184	3.8
TS-Polygraph	327	199	60.9	70	21.4
Total	5,204	1,261	24.2	254	4.9

* 2,107 of these cases were conducted by the Defense Investigative Service.

** Includes investigations conducted by CIA without use of polygraph.

*** Investigations conducted on Special Agent applicants only.

Investigative Agencies

Some interesting comparisons are shown when the general data in Figures II-1 and II-2 are grouped according to various investigative agencies (see Figure II-13). OPM investigative sources produced the lowest percentage of cases with adverse information, followed by slightly higher rates at CIA, Defense Investigative Service (DIS), and the State Department. The highest rates came from Treasury and the FBI. While it could be said that these figures roughly reflect the comparative thoroughness of investigations among the various agencies, certain caveats must be made which tend to confuse such claims. For example, OPM conducted a large number of pre-employment investigations and did not need to adhere to DCID 1/14 standards, while almost 97% of the DIS investigations were SBI and would be expected to produce more adverse information. As shown in Figure II-13, the strength of the polygraph examination is strikingly evident.

The significance of adverse information becomes more apparent when the resolved against rate is shown. It appears that almost none of the adverse information produced by State and OPM was critical enough to produce clearance or employment denials, while, on the other hand, the FBI found that its adverse information was sufficient in every case to deny clearance or employment. It should be noted, however, that the FBI sample contained special agent applicants only. Excluding the FBI example, the highest resolved against-to-adverse information ratio by far came from the use of the polygraph.

Figure II-13

General Data Grouped by Investigative Agency

	Pct of Cases With Adverse Data	Pct of Cases With Resolved Against Data	Ratios: Pct of Resolved Against Divided by Pct Adverse	Relative Productivity Index*	
				Adverse Data	Resolved Against Data
Defense Investigative Service	22.2	4.4	0.198	.92	.89
Office of Personnel Management	14.9	0.2	0.013	.61	.04
State	23.9	0	0	.99	—
FBI	38.2	38.2	1.000	1.58	7.83
Treasury	49.7	5.8	0.117	2.05	1.18
CIA (Non-Polygraph)	20.6	7.2	0.350	.85	1.48
Sub-totals	21.8	3.8	0.174	.94	.77
CIA (With Polygraph)	60.9	21.4	0.352	2.51	4.39
Totals	24.2	4.9	0.202		

* Note: For further details, see Appendix C-15.

Section III

Period of Coverage Analysis

The data were examined from several points of view to determine the extent to which older information was acquired in investigations, the extent to which older information was used in making adverse decisions, and any changes in productivity for particular sources or groups of sources of older as distinguished from newer information. The adjudicators completing the survey were instructed to identify for each factor of adverse data the age or "years ago" of the data. More specifically, they were instructed to select a time frame which would represent the minimum period necessary to acquire that particular item of data. A current condition or characteristic was to be identified as having a "years ago" of one year.

Figure III-1, drawn on a semi-log scale, depicts the total number of adverse factors by age groups and also shows the frequency of cases by target period of coverage. The line describing the age of the adverse data shows a general decline overall but indicates a relative degree of productivity in the seven to 10-year range with only a slight drop from there to the 15-year old information.

Correlation Between Period of Coverage and Age of Data

Assuming that there might be some correlation between the period of coverage and the age of the adverse data acquired, the scattergram shown in Figure III-2 was prepared. The numbers reflect the identifications of the agencies and the letter "M" reflects the mean. As will be seen, there may be a very general correlation between the period of coverage and the age of data acquired but clearly the experience from one agency to the next is widely varied and evidently the basis for any more specific correlation must be sought elsewhere.

Figure III-3 depicts the data organized by age ("years ago maximum") against the intended period of coverage. The "age" is calculated on the basis of the oldest minimum "years ago" for any of the factors cited in the case. The intended or "target" period is calculated on the basis of the subject's age and takes into consideration the fact of any previous investigation.

This particular array encompasses the 1,261 cases in which adverse data was revealed. As was to be expected, the investigations with shorter periods of coverage revealed a fair amount of adverse data acquired outside the specified period of coverage. What was not expected was the fairly large amount of adverse data acquired outside the period of coverage for investigations at the upper level of the scale. It is noted, for example, that investigations requiring a five-year period of coverage produced adverse data over the full range of years up to and including 21-plus. It is also noted, however, that the total number of investigations requiring a five-year period of coverage (332 cases) was very substantial, more than 26% of all adverse cases, and, as will be discussed later (see Figure III-7), the productivity of adverse information for the five-year period of coverage cases was not as dramatic as might be supposed.

With the thought that some of the adverse data in the foregoing figure might have been produced by previous investigation, a new array was compiled on the basis of data limited to the adverse information produced by the investigations in which there had been no previous investigation. This new array, shown in Appendix C-16, did not produce any substantial differences from that represented by all adverse data in Figure III-3 and it is noted that the cumulative percentages for each are extremely close. It is also noted that these are gross data and do not take into consideration the relative effort made for each period of coverage grouping.

It is interesting to note from the foregoing data that 84% of the adverse data captured was within the target period of coverage and included cases in which the period of coverage was not shown. 90% of the adverse data captured was within the target period of coverage plus three years and 95% of the data was within five years of the target period of coverage.

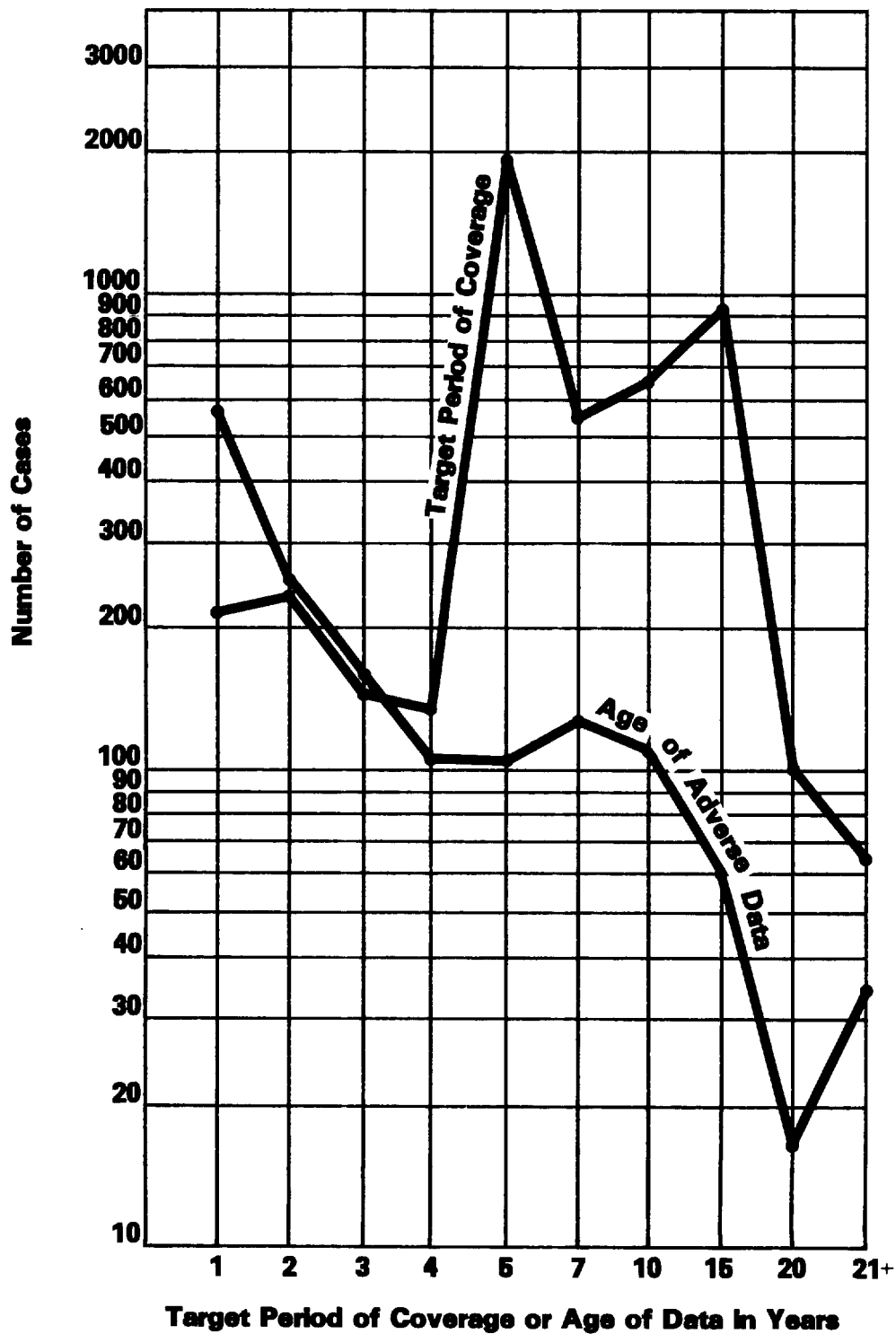


Figure III-1

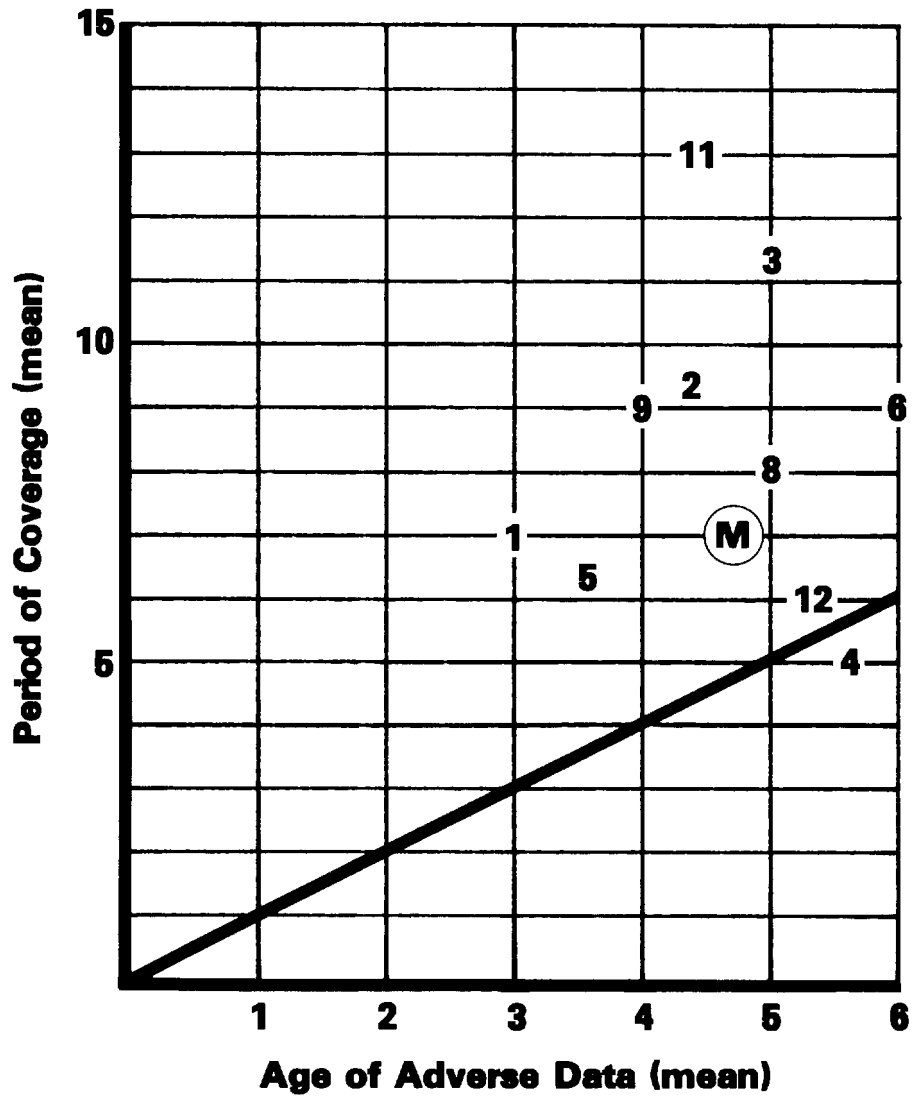


Figure III-2

Figure III-3**Adverse Data (1,261 Cases)
(Years Required To Capture Data)**

													Totals	Cum/Pct
	NS	10	7	3	10	3	16	25	19	31	2	1		
21 +	1	0	0	1	0	17	1	4	8	0	2		34	100
20	0	0	0	0	0	7	0	4	4	0	0		15	97
15	2	0	0	0	1	9	3	9	22	5	0		51	96
10	4	0	1	0	0	32	5	29	22	2	1		96	91
7	5	1	1	1	0	23	13	42	26	5	0		117	83
5	1	1	3	4	2	39	9	13	13	4	3		92	72
4	3	4	5	4	3	28	5	18	14	1	2		87	64
3	3	3	7	10	8	34	13	24	11	2	2		117	57
2	7	12	15	14	8	54	22	28	23	0	1		184	46
1	15	22	22	23	15	73	48	59	56	3	5		341	30
Total	51	50	57	67	40	332	144	249	230	24	17		1,261	
Target POC	NS	1	2	3	4	5	7	10	15	20	21 +			

Figure III-4 depicts data involved in the 254 cases which were resolved against the applicant. It is noted that, although 7% of the data used was captured outside the target period of coverage, all of the adverse data resolved against the individual was captured within a 15-year period of coverage. Again, using only the cases in which no previous investigation had been conducted (see Appendix C-17), the cumulative percentages of productivity are remarkably similar to those of the total data.

The cumulative frequencies shown in Figures III-3 and III-4 are shown graphically in Figure III-5. Both curves, one representing the cumulative percentage of adverse data, the other the cumulative percentage of resolved against data, are rather uniform and indicate decreasing increments as the data increases in age. As expected, the age of resolved against data tended to be somewhat newer than the age of all adverse data.

Figure III-4

Resolved Against Data (254 Cases)
(Years Required To Capture Data)

													Totals	Cum/Pct
Yrs Ago Maximum	NS	4	2	1	4	1	0	3	2	8	1	0	26	—
	21+	0	0	0	0	0	0	0	0	0	0	0	0	100
	20	0	0	0	0	0	0	0	0	0	0	0	0	100
	15	0	0	0	0	0	0	1	0	3	2	0	6	100
	10	2	0	0	0	0	1	1	8	5	1	0	18	97
	7	0	0	0	1	0	2	5	10	7	2	0	27	89
	5	0	0	1	1	0	1	2	6	5	1	0	17	78
	4	1	0	2	3	0	5	4	6	5	1	0	27	70
	3	1	0	2	4	4	1	1	6	5	1	0	25	58
	2	4	0	2	3	2	2	4	4	8	0	0	29	47
	1	4	2	5	11	2	9	10	14	20	2	0	79	35
	Total	16	4	13	27	9	21	31	56	66	11	0	254	
Target POC NS		1	2	3	4	5	7	10	15	20	21+			

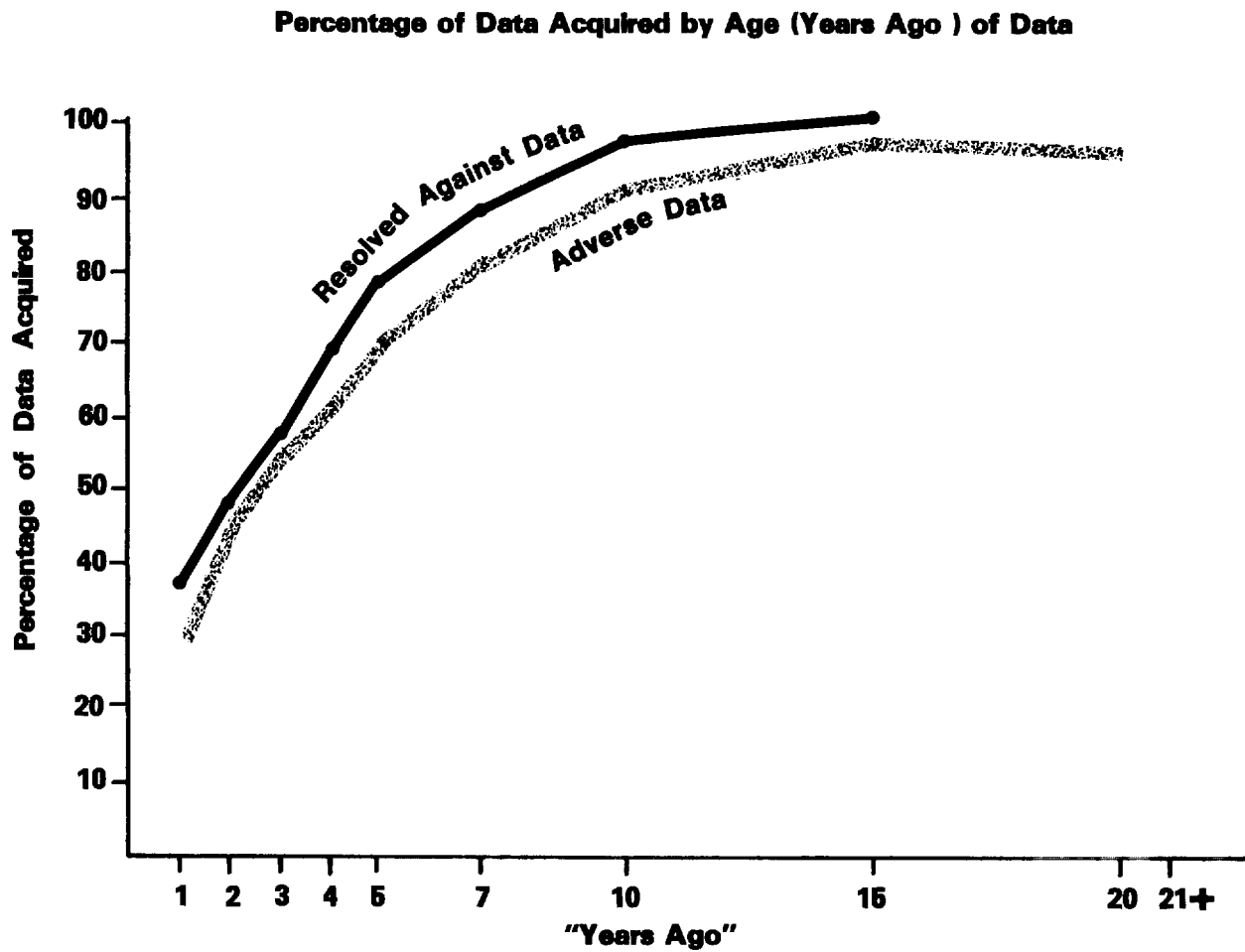


Figure III-5

Periods of Coverage Risking Loss of Data

These results are summarized in Figure III-6. It is noted that the investigations with a five- or seven-year target date of coverage risk losing substantial percentages of data resolved against the individual, 22% and 11%, respectively. This percentage drops off somewhat at the ten-year level and, at least in the sample used in this study, was reduced to zero by a 15-year period of coverage.

Figure III-6

A Period of Coverage of	Would Risk Losing	
	Significant Adverse Data	Resolved Against Data
5 Years	28%	22%
7 Years	17%	11%
10 Years	9%	3%
15 Years	4%	0%

An attempt was then made to relate the gross data discussed above to the actual effort expended for each period of coverage grouping. Figure III-7 depicts the data used to calculate a productivity index (line 5) according to target period of coverage. It is somewhat surprising to note that, although the cases targeting a five-year period of coverage showed a high number of

adverse data (see Figure III-3), the relative productivity index was actually at .70, substantially lower than the index of any of the other target periods of coverage. A similar examination of the cases which were resolved against the individual reveal even more dramatic differences (see lines 6-8). It is noted for example that the 20-year period of coverage yielded an index of 2.25. This could be due to the distorting effect of a small sample or possibly it could be explained by differences in agency practices. For example, the agencies setting a target period of coverage of 16 or more years (there were 176 cases in this category) might well require a substantially greater investigative scope in terms of the number of contacts per case. Referring back to the data in Figure II-1, however, we note that Agency Two accounted for 89 of the 176 cases. The Working Group member representing that agency indicated that the scope was not extraordinary and did not differ substantially from that of the other participating agencies. While the Working Group found it difficult to account for some of the phenomena shown in this figure, it seems evident that target periods of coverage of 10 and 15 years, and quite possibly 20 years, are relatively productive in terms of both adverse and resolved against data.

Figure III-7

Productivity Indices According To Target Periods Of Coverage

Period of Coverage in Years	NS	1	2	3	4	5	7	10	15	20	21+	Totals
1. Number of Cases	210	215	235	142	136	1,955	552	655	928	100	76	5,204
2. Percent of Total Cases	4.035	4.131	4.516	2.729	2.613	37.567	10.607	12.586	17.832	1.922	1.460	—
3. Number of Adverse Cases	51	50	57	67	40	332	144	249	230	24	17	1,261
4. Percent of All Adverse Cases	4.044	3.965	4.520	5.313	3.172	26.328	11.420	19.746	18.239	1.903	1.348	—
5. Productivity Index *	1.00	.96	1.00	1.95	1.21	.70	1.08	1.57	1.02	.99	.92	—
6. Number of Cases Resolved Against	16	4	13	27	9	21	31	56	66	11	—	254
7. Percent of All Cases Resolved Against	6.299	1.575	5.118	10.630	3.543	8.268	12.205	22.047	25.984	4.330	—	—
8. Productivity Index **	1.56	.38	1.13	3.90	1.36	.22	1.15	1.75	1.46	2.25	—	—

NOTE:

* Line 4 divided by Line 2 = Line 5.

** Line 7 divided by Line 2 = Line 8.

Sources and Age of Data

In an effort to understand the low productivity indices for cases in the five-year target period of coverage, we noted that Agencies One, Four, and Twelve had fairly significant proportions of their cases in that range. It was also noted that Agency Twelve had a relatively lower rate of adverse information (see Figures II-1 and II-2). When the data were restructured, leaving out that of Agency Twelve, the indices became somewhat smoother and the index for the five-year target period of coverage was raised from .70 to .82. The revised data are shown in Appendix C-18. Several other correlations were tabulated by deleting one or another agency in an effort to explain the low productivity for the group of cases with a target period of coverage of five years and, conversely, to explain the relatively higher productivity of cases targeted at either three or four years. It may be assumed that, given the formula for the productivity index, the relatively low number of cases with a target period of coverage of three or four years would tend to distort the ratio represented by the productivity index, but no similar explanation could be found for the low index for the five-year period of coverage group. With the thought that the solution might lie in the types of sources checked in these investigations, a table was compiled showing individual types of sources arrayed according to the target period of coverage. These frequencies are shown in Appendix C-19. When the data are reduced to percentages as shown in Appendix C-19, one fact immediately stands out. The number of cases in the five-year period of coverage in which developed sources were checked is substantially lower than the comparable figure for any other period of coverage. It will be seen elsewhere in this report (see especially Section V) that the developed source is highly productive. This observation appears to account for the low productivity of adverse data in the five-year target period of coverage group.

On the assumption that the wide fluctuations in the indices for the years one through five could be traceable to a variety of factors and recognizing that reduction of coverage below five years is not a serious alternative, the data were then reorganized to show the figures for periods of coverage for one through five years as a single entry. The revised data are shown in the chart at Appendix C-21 and the indices themselves have been graphed in Figure III-8. It should be noted that this chart does not illustrate the age of the adverse information or the resolved against data but rather relates only to the target periods of coverage which produced adverse or resolved data over the full range of years. It will be seen, for example, that investigations targeted at one through five years or 20 years or more did not produce adverse data as often as might be expected while those targeted at 10 or 15 years produced relatively more than their share of adverse data. Turning to the information resolved against the individual, it will be seen that the investigations targeted at 10 years were most productive although those targeted at 15 and 20 years produced relatively much more than their expected share of resolved against data.

It should be noted that the foregoing examinations in Figures III-7 and III-8 considered not the age of the information produced or the "years ago maximum" but rather merely the target period of coverage. For example, a case which actually produced data only two or three years old might still be accounted for in the 15-year column on the grounds that the target period of coverage was 15 years. In view of this, it was therefore necessary to re-examine the data analyzing the actual

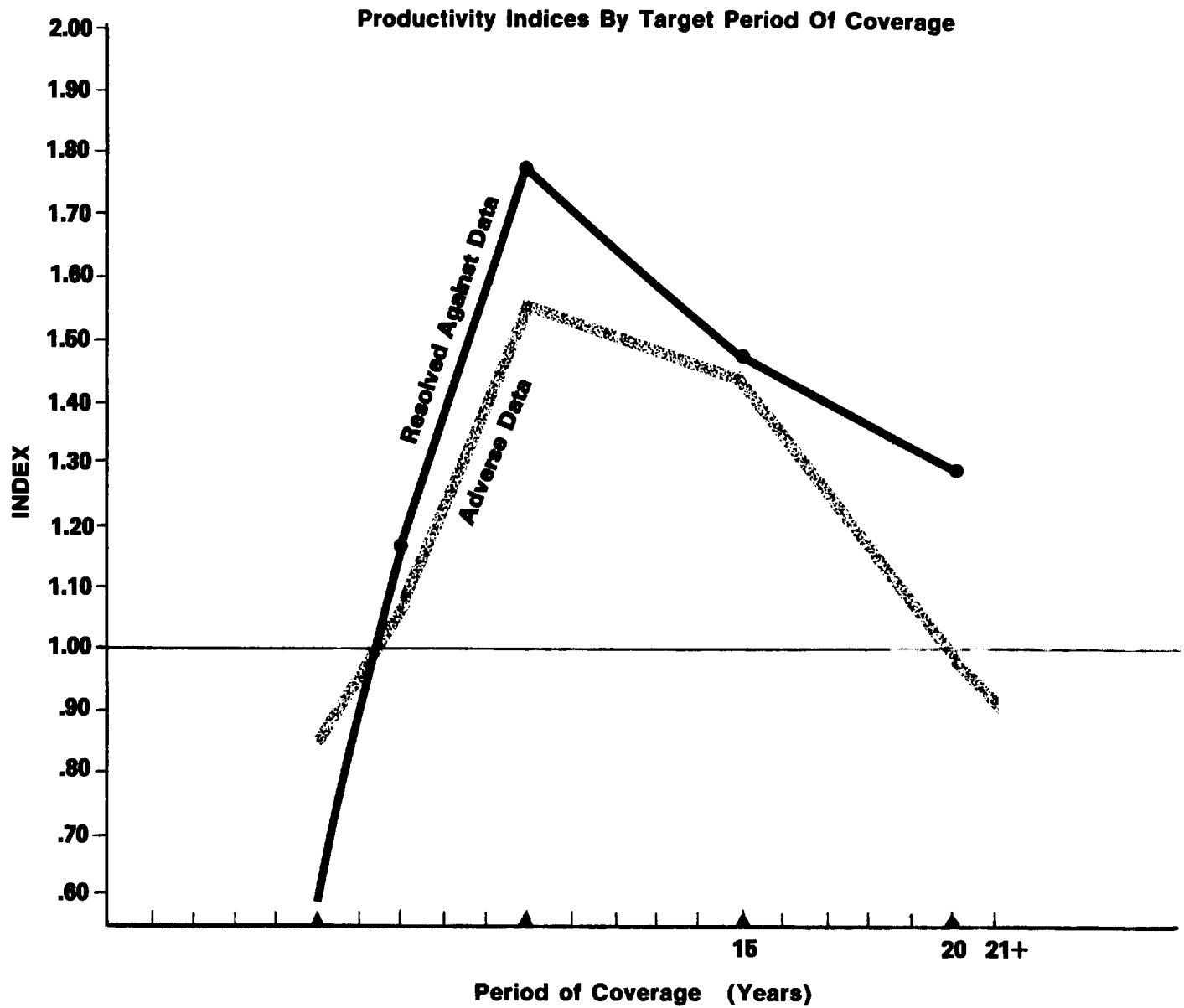


Figure III-8

age of the information. To simplify the procedure somewhat, that analysis was limited to field type sources; the NAC, the polygraph, and subject admissions were excluded from the computation. The only manner in which these latter sources were considered at all was when identifying the uniqueness of field sources. For example, credit checks were cited as unique sources of adverse data seven years or older on four occasions and in those four instances, there were no other sources of any kind which provided the same information. A recapitulation of the data used in this exercise is shown in Appendix C-22. A summary of the productivity indices derived from that data is seen in Figure III-9.

It was not surprising to note that the residence check was relatively unproductive for this older information; this undoubtedly is due to the fact that few agencies attempt to check residences more than five years old. The bar charts shown in Figure I-1 further illustrate that fact. Similarly it should be noted that most agencies limit personal source checks at places of employment to ten years. We note that this type of check did not figure at all as a unique source for information 15 years old or more although it did figure rather strongly in conjunction with other sources of data that old. It is further noted that police checks

figured quite prominently as a source of older information.

Previous Investigations

Although the effect of a previous investigation will be examined in more detail in Section IV, an effort was made to ascertain the extent to which older adverse data were disclosed in investigations which had previously been subjected to either a background investigation or a special background investigation. The frequencies are depicted in the chart at Appendix C-23 and the indices are shown in Figures III-10. Although it was expected that these investigations would have revealed a lower share of adverse data, it is somewhat surprising to note they did nevertheless disclose data of some vintage and, as a matter of fact, the indices for cases previously subjected to an SBI were fairly high. The group with a target period of coverage of 10 or more years actually had an index of 1.1, slightly better than might have been anticipated from the effort.

Figure III-9

Productivity Indices: Older Data *

	As Unique Source			As Any Source		
	7 Years or Older	10 Years or Older	15 Years or Older	7 Years or Older	10 Years or Older	15 Years or Older
Education Record	.15	—	—	.09	.10	.14
Education Personal Interview	.23	.38	—	.24	.23	—
Employment Record	.62	.41	.85	.90	.79	1.02
Employment Personal Interview	.37	.20	—	.89	.75	.34
Residence	—	—	—	.10	.12	.11
Listed References	.17	—	—	.45	.45	.46
Developed Sources	.93	.61	.64	1.85	1.63	1.53
Police	4.71	5.81	5.54	3.08	3.50	3.22
Credit	.61	.25	.53	.88	.77	.70

* See Appendix C-22 for detailed supporting data.

Figure III-10

Older Adverse Data After Previous Investigation

	All Years	Previous Investigation was BI			All Years	Previous Investigation was SBI		
		7 Years or Older	10 Years or Older	15 Years or Older		7 Years or Older	10 Years or Older	15 Years or Older
Number of Cases	1,212	800	654	445	222	130	83	51
Percentage of Total Cases (5,204)	23.29	15.37	12.57	8.55	4.27	2.50	1.59	.98
Adverse Cases	246	168	141	90	49	31	22	11
Percentage of Total Adverse (1,261)	19.51	13.32	11.18	7.14	3.89	2.46	1.75	0.87
Index*	.84	.87	.89	.84	.91	.98	1.1	.89

* Note: Indices derived from dividing Percentage of Total Adverse by Percentage of Total Cases.

Effects of Overall Increase in Period of Coverage

The Working Group recognizes the concern that any significant increases in the period of coverage would require additional resources and that some managers in the security community have expressed the view that the costs attendant to any substantial increases could be prohibitive. An attempt was made, therefore, to ascertain possible outside parameters for any such increases in effort using the data available in the current survey. In Appendix C-1, data is portrayed showing the age of the subjects of investigation by

agency. These data relate exclusively to the age of the subject and do not show the target period of coverage for the particular case. In other words, the data do not take into consideration the possibility that the current investigation was merely a "bring-up" from an earlier investigation and the column "Period of Coverage" relates only to the theoretical period of coverage for a person of that age. In Figure III-11 these data are

Figure III-11

Effect of Change in Periods of Coverage Compared to Actual Mean for This Survey

Agency:	1	2	3	4	5	6	8	9	11	12	Total
Mean Target Period of Coverage, this Survey	7.0	9.0	10.8	5.0	6.0	8.7	7.9	8.2	12.9	5.7	7.6
If a 5 year POC were standard, mean would be:	3.6	4.0	4.9	4.7	4.3	4.7	4.4	4.5	5.0	4.8	4.5
Pct of change from actual, this survey	-48	-55	-55	-06	-28	-46	-44	-45	-61	-16	-41
If a 10 year POC were standard, mean would be:	5.4	6.5	9.0	8.6	5.6	8.3	7.4	7.7	9.3	8.4	7.8
Pct of change from actual, this survey	-23	-28	-17	+72	-06	-05	-06	-06	-11	+47	+03
If a 15 year POC were standard, mean would be:	6.7	8.2	12.2	11.3	9.0	11.0	9.1	9.9	11.0	10.5	10.0
Pct of change from actual, this survey	-04	-09	+13	+126	+50	+26	+15	+21	-15	+84	+32

summarized to compare, by agency, the theoretical mean target period of coverage for a standard five-year POC, a 10-year POC and a 15-year POC. The data for each agency is then compared to the mean period of coverage actually targeted in the current survey and the percentage difference between each theoretical period of coverage and the actual mean for the current survey is shown. Because several agencies (notably One, Two, and Eleven) conducted a number of investigations in the current survey with a target period of coverage in an excess of 15 years, the theoretical mean for a standard 15-year POC for those agencies is revealed as less than the actual mean for the current survey. It is assumed that those agencies, having decided that the extra period of coverage was needed in the current cases, would continue to regard such additional coverage as necessary, so a net savings ought not to be presumed. For the other agencies, a standard period of coverage of 15 years would, in fact, appear to require additional resources ranging from a 13% increase for Agency Three to a 126% increase for Agency Four or a 32% increase for the total sample. With the exception of Agency Four, and possibly Five and Twelve, a change in standard periods of coverage to 15 years would not appear to require a substantial increase in costs, particularly when it is remembered

that these data do not take into consideration the effect of a prior investigation. Moreover, an increase from five or ten years to 15 in most situations would not represent an across-the-board increase for all types of sources. For example, there ought to be no increase in listed reference coverage nor should the credit check require any extra effort. Further, the education and residence checks would be largely unchanged due to the fact that few agencies now cover residences for more than five years anyway and most verify at least higher education even outside the period of coverage. It should be noted further that the mean target period of coverage shown in this figure may be somewhat higher than the mean of all cases conducted for a particular agency, especially for Agencies One, Two and Three (and possibly Six), inasmuch as the samples for those agencies included a large number of special background investigations. Undoubtedly these observations can be refined and eventually should be related to the actual dollar costs of conducting investigations.

Section IV

Effects of Previous Investigations

Recognizing that many of the current investigations in the survey were of persons who had previously been subjected to investigations ranging from the Entry NAC to the SBI, a number of questions immediately come to mind. Does the nature or extent of the previous investigation have any discernible effect on the productivity of a subsequent one? For example, would the existence of a previous SBI tend to diminish the productivity of a current investigation and, if so, could that be explained as the "screening effect" of the earlier inquiry? Does a previous investigation, especially one meeting BI or SBI standards, influence the productivity of (1) specific types of sources, (2) the age of the adverse data acquired, or (3) the type of data acquired? More particularly, do older data in a case previously subjected to a BI or SBI tend to come from a narrower range of sources? Taken from another perspective, could this group of cases be regarded as indicative of the effect of a routine reinvestigation, taking into consideration, of course, that a more stringent adjudication standard may be pertinent to a current case than to an earlier one?

Types of Previous Inquiries

Figure IV-1 depicts data which compare the type of previous inquiry to the purpose of the current investigation. It is interesting to note that 33% of the investigations for SCI access had been subjected previously to a BI and another 7% had previously been subjected to an SBI. The relevant data for the Top Secret investigations had comparable percentages. Still, 59% of all cases in the entire sample had no previous inquiry of any type.

Relationship of Scope and Productivity

The data portrayed in Figure IV-2 leads to the development of a productivity index according to the type of previous inquiry. Adverse data derived solely from the FBI main files, OPM, DOD or other NAC records were deliberately omitted from this analysis to make certain that the adverse data considered came solely from the current investigation and not from the

previous one. The productivity index shown in the last column forms a very neat, downward curve and clearly suggests that the scope of any previous inquiry does, in fact, have a strong and direct relationship to the amount of adverse information produced in a subsequent check.

Sources and Categories of Information

An effort was then made to determine whether the adverse data in these cases which had previously been subjected to either a BI or an SBI could be attributed to any particular sources or groups of sources. In addition, the data were examined to determine the age of the adverse data revealed in the current investigation for both groups. Appendix C-23 is a recapitulation of the data from these various perspectives. It is noted that cases previously subjected to a BI acquired current information from the full spectrum of sources although the education sources, residence checks, and listed references were relatively weak. Police sources were very strong, as were various elements of the NAC, and employment sources were not far behind. The polygraph again emerged as an extremely strong source and had a greater degree of uniqueness than did the other sources. Examining cases previously subjected to an SBI, the same general pattern emerges although on a somewhat reduced scale, as might be expected by the fact of the greater scope accorded the SBI.

Referring back to Figure III-10 (in the previous section), which is a summary of the data arranged according to the age of the adverse data produced, it will be observed that there appears to be no particularly strong pattern in the productivity indices derived from that data. With all indices in the range from .84 to 1.1, it appears that those cases produced adverse information of an age roughly proportionate to the effort expended in terms of the target period of

coverage. The figures are relatively small, however, particularly regarding the cases previously subjected to an SBI. It may be that with a larger sample a more discernible pattern might become apparent.

It is interesting to note the types of resolved against data revealed by current investigation in cases where the individual had previously been subjected to a BI or

an SBI. The data is shown by category in Appendix C-24. Of the 78 factors for the 49 cases involved, homosexual activity accounted for nine (11%), while drugs and alcohol accounted for 24 (or almost 31%). Foreign connections, dishonesty and criminal activity—"other than above" accounted for seven each (or about 10% each). As might have been expected, most of the data was current or relatively new, at least 70% of it five years old or less.

Figure IV-1

**Previous Investigation Type Compared To
This Investigation Purpose**

FREQUENCY PERCENT ROW Pct COL Pct	This Investigation						Totals
	NS	SCI	TS	Q	Crypto	Other	
Previous Investigation							
NONE	43 0.83 1.40 57.33	728 13.99 23.63 32.90	503 9.67 16.33 59.81	866 16.64 28.11 86.25	21 0.40 0.68 72.41	920 17.68 29.86 88.29	3,081 59.20
ENAC	2 0.04 0.76 2.67	253 4.86 96.20 11.43	2 0.04 0.76 0.24	1 0.02 0.38 0.10	5 0.10 1.90 17.24	0 0.00 0.00 0.00	263 5.05
NAC	3 0.06 0.84 4.00	280 5.38 78.21 12.65	12 0.23 3.35 1.43	50 0.96 13.97 4.98	1 0.02 0.28 3.45	12 0.23 3.35 1.15	358 6.88
NACI	2 0.04 2.94 2.67	40 0.77 58.82 1.81	3 0.06 4.41 0.36	0 0.00 0.00 0.00	0 0.00 0.00 0.00	23 0.44 33.82 2.21	68 1.31
BI	19 0.37 1.57 25.33	745 14.32 61.47 33.66	274 5.27 22.61 32.58	87 1.67 7.18 8.67	0 0.00 0.00 0.00	87 1.67 7.18 8.35	1,212 23.29
SBI	6 0.12 2.70 8.00	167 3.21 75.23 7.55	47 0.90 21.17 5.59	0 0.00 0.00 0.00	2 0.04 0.90 6.90	0 0.00 0.00 0.00	222 4.27
Totals	75 1.44	2,213 42.52	841 16.16	1,004 19.29	29 0.56	1,042 20.02	5,204 100.00

Figure IV-2

**Productivity Index According to
Previous Type of Investigation:
Cases With Adverse Information ***

Types of Previous Investigation	Frequency of Cases	Percent of Total Cases	Frequency of Adverse	Percent of Total Adverse	Productivity Index **
NONE	3,081	59.20	715	62.66	1.06
ENAC	263	5.05	71	6.22	1.23
NAC	358	6.88	82	7.19	1.05
NACI	68	1.31	15	1.31	1.00
BI	1,212	23.29	221	19.37	.83
SBI	222	4.27	37	3.24	.76
Total	5,204		1,141		

* Excludes cases in which the only adverse data came from FBI main files, OPM, DOD, or NAC—other.

** Percent of Total Adverse divided by Percent of Total Cases equals the Productivity Index. The higher the index, the greater the return for the effort; or conversely, the lower the index, the more effective the screening of the previous investigation.

Section V

Source Analysis

A principal objective of the survey was to determine the productivity of various types of sources or groups of sources used in the background investigation procedure. As noted elsewhere in this report, the analysis related solely to the productivity of adverse data and did not take into consideration an agency's need for positive information about the individual.

Although the original plan for this survey had included an attempt to acquire data on the effectiveness or productivity of the polygraph examination as a "screening procedure," distinct from the background investigation, unforeseen circumstances precluded that particular review. The survey did, however, include examples of the polygraph examination in conjunction with the background investigation; the productivity of that particular pattern of polygraph procedure is included in some of the analysis which follows in this section. A more detailed review of the polygraph is discussed in Section VI.

Types of Sources

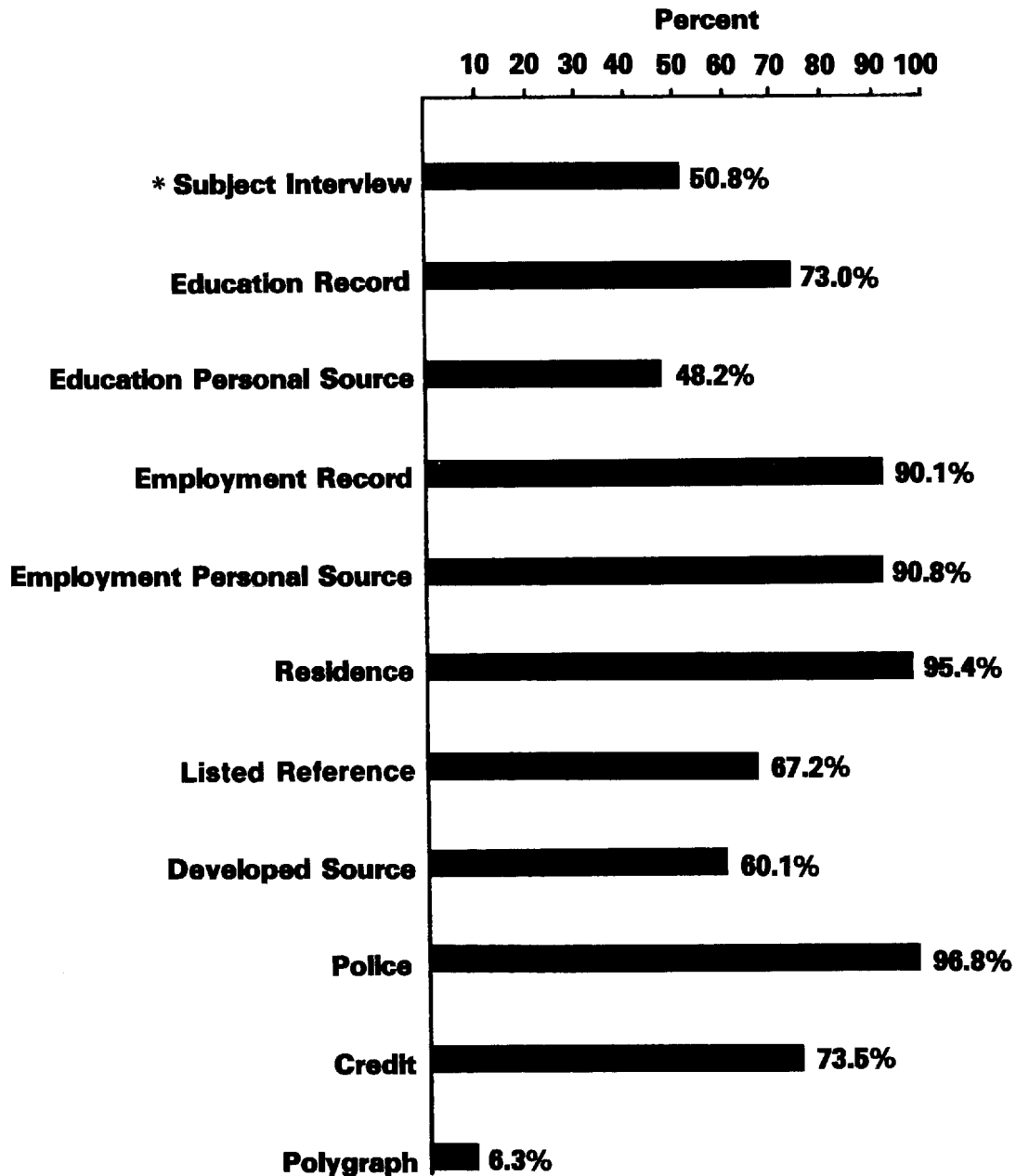
Figure V-1 illustrates graphically the percentage of cases in which individual types of sources were checked in the cases examined in this survey. The National Agency Check is not shown inasmuch as all cases are expected to include that type of inquiry. It should be noted that the bars do not represent true effort inasmuch as they do not reflect the years of coverage involved in each type of check. For example, as shown in the charts in Figure I-1, few agencies verify residence for more than three years. Further, the bars do not represent the number of contacts per type of source checked.

Figure V-2 illustrates the percentage of total cases in which any particular source was cited for adverse data in any of the four factors. In this instance the various parts of the National Agency Check are included and it is noted that police, subject admissions, developed sources, and employment interviews appear to be especially productive. It should be remembered, however, that these data do not take into consideration the number of times these particular sources were checked.

Productivity of Sources

Further analysis was therefore required to establish the productivity index for each type of source. The basic data for this latter review are shown in Appendix C-25 and the indices derived therefrom are depicted in Figure V-3. In this review each source citation for any of the four factors is counted and then compared with that source's share of the total source checks for the entire sample. In this particular analysis, the subject as a source was defined as including only cases in which the subject was interviewed by either an "administrative screening" or an "investigative interview." Specifically excluded from this particular heading were (1) cases involving the polygraph, which are shown separately and (2) cases in which the only subject participation was in the form of personal history papers. From any point of view, whether in terms of the productivity of adverse data or resolved against data, the polygraph procedure appears to be far and away the most productive of all the individual types of sources, with the subject interview a distant but still strong second. In passing, it is noted that, in this particular survey, the polygraph examination was usually conducted after the investigation and could therefore be considered more in the nature of a confrontation, whereas the subject interview was limited by definition to cases in which the interview preceded the investigation. More specifically, interviews conducted as a matter of confrontation were eliminated from the survey by definition. All this, however, does not obviate the fact that the polygraph, when used as it was in these cases, is a highly productive technique. Of the other sources, police and developed sources emerged as highly productive, while the DOD portion of the name check and the employment interview also produced more than their expected share of the adverse and resolved against data. It may be significant that employment records as distinguished from interviews with employment sources

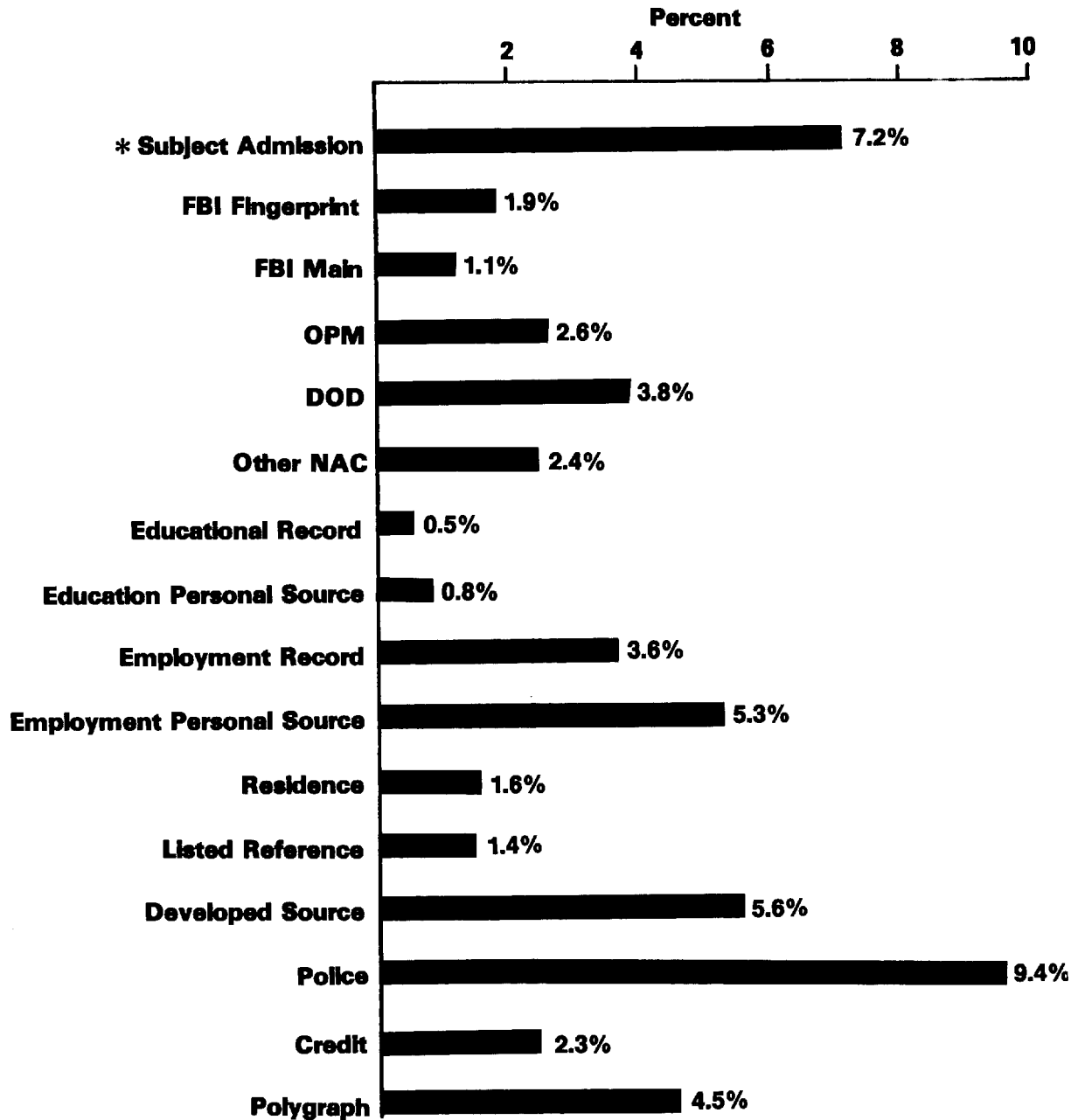
Percent of Cases in Which Specific Types of Source Were Checked



*** Does Not Include Polygraph**

Figure V-1

Percent of Total Cases in Which a Source was Cited in Any Factor



*** Does Not Include Polygraph**

Figure V-2

Figure V-3

Productivity of Sources

Source	Index of Adverse Data (1,730 Factors)		Index of "Resolved Against" Data (409 Factors)	
	As Unique Source ⁴	As Any Source ⁵	As Unique Source ⁴	As Any Source ⁵
Subject ¹	4.48	2.96	2.13	2.61
NAC: FBI Fingerprint Files	.09	.40	—	.18
FBI Main Files	.03	.22	—	.06
OPM	.03	.55	—	1.56
DOD ²	.47	1.03	.54	1.40
Other ³	—	—	—	—
Educational Records	.14	.13	—	.02
Educational Pers. Interviews	.12	.34	.12	.40
Employment Records	.29	.82	.40	.74
Employment Pers. Interviews	1.06	1.23	1.66	1.71
Residence Checks	.21	.34	.19	.39
Listed References	.07	.45	—	.52
Developed Sources	1.92	1.96	1.40	2.92
Police	1.92	2.03	1.49	1.35
Credit	.83	.65	.49	.67
Polygraph	50.80	14.96	79.79	23.48

NOTE:

¹ Includes cases in which Subject was interviewed administratively or by investigator; excludes polygraph (shown as separate source) and cases in which only source was Subject but in "papers only."

² Estimated from totals for Agencies 1, 2, 3, 4, 6, 8, and 9. Excludes Agencies 5, 11, and 12.

³ Not included in analysis; frequency of checks made is unknown; checks were made only as needed.

⁴ Index derived from dividing percentage of total unique sources by percentage of total frequency. Example: Subject, $20.18\% \div 4.5\% =$ productivity index of 4.48. (See Appendix C-25.)

⁵ Index derived from dividing percentage of total as any source by percentage of total frequency. Example: Subject, $13.34\% \div 4.5\% =$ productivity index of 2.96.

were substantially lower. Educational and employment records seemed to be relatively much less productive as were credit checks and listed references. It should be remembered, however, that in this analysis only adverse data was recorded, not the positive data which many agencies rely upon. Again, there is no attempt to correlate these indices with the actual cost in terms of either dollars or effort and, while most of the NAC seems to be relatively less productive, it is also relatively inexpensive.

In passing, a tabulation was prepared showing the productivity of individual types of sources by agency. The figures relating to adverse data are shown in Appendix C-26 while the resolved against data are shown in Figure V-4. There seem to be no major surprises in this data; however, it is noted that three of the four DOD agencies cited the DOD part of the NAC as a source for resolved against data rather frequently (especially Agency Three). Employment interviews, as distinguished from employment record checks, figured prominently and for Agency Eleven that source was particularly productive.

Figure V-4

Table of Sources by Agency
(Resolved Against Data)

Agencies	1	2	3	4	5	6	8	9	11	12	Totals	Pct. of Resolved Against To Adverse
Sources:												
Not Shown ¹	—	1	1	—	—	—	2	1	7	—		
Subject ²	8	1	2	—	—	1	10	1	—	—	23	8.9
Subject ³	17	12	36	—	—	4	4	—	10	—	83	22.2
NAC: FBI Fpt.	4	1	1	—	—	—	5	—	—	—	11	11.0
FBI Main	—	—	1	—	—	—	2	1	—	—	4	7.1
OPM	—	—	2	4	—	—	4	1	—	—	11	8.1
DOD	13	5	44	—	—	1	—	5	—	—	68	34.3
Other	3	7	4	—	—	—	3	—	—	—	17	13.8
Educational Records	—	—	—	—	—	—	—	1	—	—	1	4.2
Educational Personal	1	5	—	1	—	—	—	3	2	—	12	30.0
Employment Records	9	5	11	3	—	—	7	3	4	—	42	22.8
Employment Personal	19	9	14	8	—	—	7	10	30	—	97	35.0
Residential	3	3	3	3	—	—	—	5	6	—	23	28.4
Listed References	9	—	1	—	—	—	—	10	1	—	22	29.3
Developed Sources	30	6	21	9	—	—	8	18	18	—	110	37.5
Police	15	10	16	2	—	1	31	—	7	—	82	16.8
Credit	4	7	11	1	—	—	4	1	3	—	31	26.1
Polygraph ⁴	—	—	—	—	—	—	—	93	—	—	93	39.6
Totals	137	71	167	31	—	7	85	152	80	—	730	23.9
No. of Cases Resolved Against	35	15	40	4	—	5	20	83	52	—	254	

¹ Not included in Totals.² Totals include submission of papers only.³ Totals include results of administrative screening and investigative interviews combined.⁴ Source used by one agency only.

$$93 = 39.6\% \text{ of } 234$$

Some idea of the quality of the data produced by each source can be gained by comparing the frequency of resolved against data with the frequency of all adverse. The comparisons are expressed as percentages in the far right-hand column of Figure V-4 and, while the polygraph again emerges as the most productive, developed sources and employment interviews are also close behind. Surprisingly, from this perspective, listed references, residence checks, and educational interviews (as distinguished from records) are also productive. Noting a relatively lower percentage for the police checks, these comparisons lead to the observation that

persons interviewed seem to provide more data resolved against an individual than do record sources. (See Figure V-5.)

In view of this observation, the data were regrouped and compared in a simple correlation as shown in Figure V-6. The source interviews are fairly productive, accounting for approximately 37% of the adverse data, but the pattern is not particularly strong when

Figure V-5

**Record Sources by
Interview Sources ***

Adverse Data		Interview Sources	
		No	Yes
Record Sources	No	567 33%	379 22%
	Yes	579 33%	205 12%

Resolved Against Data		Interview Sources	
		No	Yes
Record Sources	No	140 34%	119 29%
	Yes	90 22%	60 15%

* Does not include polygraph.

Figure V-6

Comparison of Selected Sources

Adverse Data		Interview Sources (Education, Employment, Residence, Listed References, Developed Sources)	
		No	Yes
Record Sources (Education, Employment, Police, Credit)	No	486 29%	379 22%
	Yes	579 34%	246 15%

compared with either record sources or other sources outside both groups such as the NAC, the polygraph, or subject admissions.

The data were then reorganized into various mixes and compared in the same format. Figure V-7 depicts the data relating to all source citations for any of the 409 factors involved in the 254 resolved against cases. This display includes the NAC and the personal interview but does not include the polygraph or data revealed only by the subject in personal history statements. A pattern is clearly discernible here with 66% of the resolved against data coming from the group of sources which includes the NAC, the personal interview, police, and credit checks.

Figure V-8 depicts the same data but with both employment checks shifted from one group to the other. It is noted that the pattern becomes more pronounced with the new grouping of the NAC, the personal interview, police, credit, and employment checks accounting for 71% of the data in the resolved against cases. The other groupings—education, residence, listed reference, and developed source—accounted for only 11% of the resolved against data.

Figure V-7

Comparison of Selected Sources

Resolved Against Data		NAC, Personal Interviews (W/O polygraph), Police, Credit	
		No	Yes
Education, Employment Residence, Listed Reference, Developed Source	No	9 9%	75 36%
	Yes	62 30%	64 30%

Figure V-8

Comparison of Selected Sources

Resolved Against Data		NAC, Personal Interviews (w/o polygraph), Police, Credit, and Employment (R&I)	
		No	Yes
Education (R&I), Residence, Listed Reference, Developed Source	No	70 18%	178 47%
	Yes	42 11%	89 24%

Recognizing that the polygraph examination tended to be especially productive, the data were then reexamined with the polygraph added and the results are shown in Figure V-9. Obviously, addition of the polygraph creates a substantial impact in favor of the group consisting of the NAC, the personal interview, police, credit, and employment checks.

Several correlations were prepared comparing individual sources with similar sources. For example, Figure V-10 illustrates the relative productivity of the police check as compared with the FBI fingerprint check. It will be noted that, although the FBI fingerprints produced data in 5% of the cases, they were the unique source in only 1%, while the police checks were unique in 22% of the cases.

Figure V-11 depicts the same data but is limited to the cases which were resolved against the individual. Again, the police check emerges as significantly stronger than the FBI fingerprint check.

It is clear that the police check is one of the most productive and useful sources of both adverse as well as resolved against data. The Working Group is particularly concerned, therefore, over evidence that access to such data is being increasingly denied to the federal agencies conducting personnel security investigations.

Figure V-9

Comparison of Selected Sources

Resolved Against Data		NAC, Personal Interviews, Police, Credit, Employment, and Polygraph	
		No	Yes
Education, Residence, Listed Reference, Developed Source	No	34 9%	230 58%
	Yes	31 8%	100 25%

Figure V-10

Comparison of Police and FBI Fingerprint Checks

All Cases With Any Adverse Data		FBI Fingerprint	
		No	Yes
Police	No	925 73%	15 1%
	Yes	272 22%	49 4%

Figure V-11**Comparison of Police and
FBI Fingerprint Checks**

Resolved Against Cases		FBI Fingerprint	
		No	Yes
Police	No	213 83%	0
	Yes	37 15%	4 2%

Recent testimony before the House Permanent Select Committee on Intelligence suggests that the problem is serious and that prompt corrective action is appropriate.*

Value of National Agency Check (NAC)

Of the many additional correlations attempted, one was particularly interesting. The NAC was compared with all other sources including the personal interview and the polygraph. The results are depicted in Figure V-12. The 27 factors attributed to neither group of sources represented either errors in which the source was "not shown" or data derived solely from the subject's personal history statement.

* For additional details see the Committee's report, pp.16-20. See also a March 1979 report by Search Group Incorporated, "Federal Access to State and Local Criminal Justice Information for Federal Personnel Security and Employment Suitability Determination."

Sources and Categories of Information

Next the data were reviewed to ascertain whether there might be an apparent correlation between sources or groups of sources and the categories of information revealed. The set reviewed consisted of all cases resolved against the individual (denials or not hired). The 254 cases had a total of 409 factors in which categories of adverse information were cited. There were a total of 618 source citations. The data are shown in Appendix C-27 arranged according to categories or resolved against data as revealed by five major source groupings. Appendix C-28 displays similar information for the 1,261 adverse cases with a total of 2,432 source citations and 1,730 factors in which categories of adverse information were cited. The resolved against data is briefly summarized in Figure V-13 on page 52.

Figure V-12**Comparison of the NAC
and Other Sources**

Resolved Against Data		NAC	
		No	Yes
All Other Sources, Including Personal Interview and Polygraph	No	27 7%	7 2%
	Yes	277 68%	98 24%

Figure V-13

Source Citations (Grouped) by Category of Information
Resolved Against Data Only

	Subject Coopera- tion	Loyalty	Foreign Conne- ctions	Dis- honesty	Irrespon- sibility	Immoral Conduct	Financial	Medical	Drugs and Alcohol	Criminal	Other	Total
NAC	12 26%		7 32%	12 17%	11 12%	7 15%	13 18%	4 14%	25 14%	8 25%	6 23%	105 17%
Polygraph			5 23%	7 10%	4 4%	20 43%	2 3%		53 29%	2 6%		93 15%
Subject Interview	5 11%	1 50%	6 27%	6 9%	5 6%	3 6%	15 21%	1 4%	31 17%	4 13%	6 23%	83 13%
Employment (Records & Interviews) Police Credit	21 45%			34 49%	49 56%	5 11%	28 39%	10 36%	38 20%	14 44%	7 27%	206 33%
Education (Records & Interviews) Listed References Dev. Sources	9 19%	1 50%	4 18%	10 15%	19 22%	12 25%	14 19%	13 46%	38 20%	4 13%	7 27%	131 21%
Total	47	2	22	69	88	47	72	28	185	32	26	618
Percent of total	7.6%	0.3%	3.6%	11.2%	14.2%	7.6%	11.7%	4.5%	29.9%	5.2%	4.2%	

Note: For details, see Appendix C-27.

It was noted that the category cited most often in resolved against cases was "drugs and alcohol" which was cited as a category in almost 30% of the total citations. The categories next most frequently cited were irresponsibility (14% of the citations), financial (12%), dishonesty (11%), and immoral conduct (8%). It was also noted that each of the source groupings figured prominently throughout the data. The subject interview excluding the polygraph was cited in 13% of the factors while the polygraph figured in 15%. The NAC figured in 17% of the citations. It seems evident that, at least as groups, no single grouping should be dismissed as a potential source of significant data in these investigations. Individual types of sources, of course, were examined elsewhere in this report from the point of view of the uniqueness of their production of significant data (see Appendix C-25). It is worth noting, however, that for the category most frequently cited (drugs and alcohol), subject admissions figured in 46% of the citations. As might be expected, information in the categories which might be regarded as more subjective in nature, such as "irresponsibility," came from sources other than the subject, and we note that 78% of the citations for the category "irresponsibility" did in fact come from sources other than the subject or the NAC. It is perhaps somewhat surprising to note, however, that only 6% of the information in the medical category came from the subject. It is also surprising that only 24% of the

information in the financial category came from the subject. Referring to the more detailed chart in Appendix C-27, two points are noteworthy. The polygraph was the unique source for 47 of the "drugs and alcohol" citations or 38% of the factor citations for that category, which in turn was the most frequently cited in resolved against cases. On the other hand, employment, police, and credit constituted the unique source of 30 (or 46%) of the citations for "irresponsibility," which was the second most frequently cited category (16% of the total).

Further review of the 409 factors found in the 254 cases resolved against the individual that the polygraph examination was the unique source in 84 instances (20%) and the other types of personal interview, whether administrative screening or investigative interview, were the unique source in 15 instances (4%) (see Figure V-14). More than one-half of the factors for which the polygraph was the sole source involved drugs or alcohol, which in turn accounted for well over one-fourth of all of the resolved against factors. The polygraph was also the most productive in disclosing information concerning immoral conduct, accounting for 56% of the data of that nature (see Appendix C-27).

Figure V-14

Resolved Against Data, All Factors

	No. of Factors in Which Cited	Pct. of Factors in Which Cited	No. of Times Cited as Unique	Pct. of Times Cited as Unique
NAC	105	26%	11	3%
Subject Interview*	83	20%	15	4%
Employment, Police, Credit	206	50%	80	20%
Education, Residence, Listed References, Developed Sources	131	32%	36	9%
Polygraph	93	23%	84	20%

*A Subject Admission in any interview other than polygraph.

Section VI

Effect of Screening Procedures

All of the investigations examined in this survey include one of four basic types of input from the subject. As a minimum, every subject was required to complete some form of personal history statement. In a number of cases that was the only direct contact with the subject and it ranks as the lowest on the scale of "screening procedures." In many cases the subject was interviewed in conjunction with the background investigation and it is noted that such an interview is a basic requirement of the DCID-1/14 standards. To facilitate analysis, two basic types of personal interview were identified. One type is the interview conducted by a professional investigator, the other type conducted by some other individual such as a personnel officer or company commander. The latter is identified in this survey as "administrative screening" whereas the interview by a trained investigator is identified as an "investigative interview." The fourth and highest level in this range of procedures is the polygraph. Initially the intention was to distinguish between polygraph examinations administered prior to any investigative work and polygraph examinations administered after completion of field inquiry. As it turned out, however, the agency which conducts most of its polygraph examinations in advance of the investigation was unable to participate in the study with the result that polygraph cases included in this analysis were limited by and large to the situations in which the polygraph examination followed the investigation and in a sense may be viewed as a confrontation-type interview. This circumstance should be kept in mind when considering the various reviews in this section as well as in Section V.

Given the four basic types of "screening" procedures, a number of questions immediately come to mind. For example, to what extent does the use of the polygraph or any of the other procedures affect the overall results? Do the various "screening" procedures produce certain kinds or categories of data as compared to that revealed in other procedures or by other sources?

Review of Subject Responses in Interviews

In considering the data which follows, it may be helpful to remember that the 1,261 cases producing adverse information include a total of 1,730 factors. In approximately 8% of those factors, subject input was not shown. The subject admitted the adverse data 800 times (or 47% of the times shown). The subject falsified the matter 361 times (21%) and was not asked about it 385 times (23%). Examination of the adverse data as individual factors revealed the following percentages (see Appendix C-29). In 59% of the cases the subject either admitted all of the adverse data or admitted part and was not asked about the rest. In 15% of the cases subject falsified and in 22% of the cases the subject was not asked at least before or during the investigation. In 3% of the cases the subject admitted part and falsified part. The foregoing data relate to all of the cases in this study, including those in which the subject was not interviewed but rather was expected to provide the relevant data only in personal history papers. It is recognized that some categories of adverse information are highly subjective in nature, such as those dealing with emotional instability, poor judgment, or general irresponsibility. Nevertheless, it is believed that a rate of "not asking" in 22% of the cases is higher than it should be. In Appendix C-30 the relevant data is analyzed according to the type of "screening" procedure: the relevant productivity indices derived from that analysis are recorded in Figure VI-1.

Productivity of Screening Procedures

Appendix C-31 portrays the resolved against data according to the type of "screening" procedure and the relevant indices are shown in Figure VI-2. Considering factor one, which by definition was the most significant factor in each case, it appears that subject admissions were just about what might have been expected, with a relatively low productivity index for cases in which there was no interview at all ranging up to the polygraph, which produced a disproportionately high rate of admissions. The pattern is not seriously distorted when considering the subject admissions for all factors.

Figure VI-1

Effectiveness Index of Screening Procedures (Adverse Data)*

SCREENING PROCEDURES	FACTOR ONE				ALL FACTORS			
	Not Shown	Admitted	Falsified	Not Asked	Not Shown	Admitted	Falsified	Not Asked
None (Papers Only)	0.52	0.74	1.51	1.41	0.51	0.75	1.76	1.44
Administrative Screening	0.32	0.85	0.44	0.57	0.32	0.87	0.32	0.62
Investigative Interviews	1.05	1.03	0.71	1.00	1.05	0.98	0.51	0.86
Polygraph	7.23	3.35	1.05	0.18	7.23	3.36	0.62	0.21

*Note: See Appendix C-30 for explanation of how to derive indices.

Figure VI-2

Effectiveness Index of Screening Procedures (Resolved Against Data)*

SCREENING PROCEDURES	FACTOR ONE				ALL FACTORS			
	Not Shown	Admitted	Falsified	Not Asked	Not Shown	Admitted	Falsified	Not Asked
None (Papers Only)	0.25	0.28	0.65	0.35	0.25	0.31	1.04	0.51
Administrative Screening	0.55	0.79	0.60	0.66	0.55	0.93	0.55	0.98
Investigative Interviews	1.06	1.08	1.81	2.87	1.06	0.95	1.39	2.18
Polygraph	7.96	6.59	2.37	0.30	7.96	6.17	1.42	0.19

*Note: See Appendix C-30 for explanation of how indices are derived.

Some problems become apparent, however, when we examine the indices for falsifications or for situations in which the subject was not asked the relevant questions. It should be noted that in the latter two groupings, the effectiveness of the "screening" procedure is indicated by a lower rather than a higher index. Referring to the falsification group and the index for factor one, we note that seven of the 47 falsifications appeared to have occurred in cases in which the polygraph was used, for an index of 2.37. This could be due to a number of reasons. First of all, the relatively lower numbers are vulnerable to rather extreme distortions in the index when changed even slightly. However, after review of the instructions and discussion with representatives of the member agency which accounted for all of the polygraph interviews, it was concluded that the adjudicators completing the survey may have misconstrued the guidelines and identified as a falsification any case in which the subject denied the matter up to but not including the polygraph, even though he may have eventually acknowledged it during the polygraph examination. A review of the individual survey cards confirmed this hypothesis. On balance the Working Group concludes that, despite this apparent anomaly, the polygraph has been shown to be a highly productive technique, at least when used, as it was in the cases examined in the current survey, in conjunction with the background investigation.

The relatively higher indices for cases subjected to investigative interview which revealed that the subject was not asked about the adverse information in the resolved against cases suggest that improvements

could be made in the scope or depth of the matters covered in personal interviews. In Section V, for example, we noted that the subject was a poor provider of information in several categories, as expected in some aspects but rather unexpectedly in others, particularly in financial and medical matters. Again, remembering that the lower the index the more effective the screening procedure, the Working Group was not able to account for the differences between cases subjected to administrative screening and those in which there was no personal interview of any type.

While this particular phase of the analysis seems to present more than its share of problems, the group nevertheless believes that this analytical approach is a useful one. Moreover, it is our belief that the effectiveness of the polygraph and, to a much lesser extent, that of a sound personal interview of the subject, have been more than amply demonstrated by other reviews in this study.

In an effort to screen out any possible distortions which might arise from the presence of older data revealed in a prior investigation, adverse data was reviewed in the investigations in which there had been no previous inquiry. The data appear in Appendix C-31 and the indices derived from that data are shown in Figure VI-3. Except for a striking increase in the subject admissions related to use of the polygraph, there were no serious distortions of the pattern set forth by Figure VI-1.

Figure VI-3

**Indices: Adverse Data by Type of Screening Procedures
(No Previous Investigation—787 Cases)**

SCREENING PROCEDURES	FACTOR ONE			ALL FACTORS		
	Admitted	Falsified	Not Asked	Admitted	Falsified	Not Asked
None (Papers Only)	0.89	1.83	1.60	0.90	2.00	1.66
Administrative Screening	0.57	0.17	0.33	0.56	0.14	0.35
Investigative Interviews	0.86	0.46	0.96	0.84	0.31	0.80
Polygraph	7.99	1.01	0.09	4.22	0.52	0.13

Note: See Appendices C-29, C-30, and C-31 for further details.

Next the data were reviewed to identify what patterns there might be in subject admissions and falsifications when considering the type or category of adverse data. The respective frequencies according to category are shown in Appendix C-33 and the indices derived from that data are shown in Figure VI-4. It is noted that, as might have been expected, subjects tend to acknowledge data concerning foreign connections most readily and conversely tend to falsify them least often. The categories of "Drugs and Alcohol" and "Criminal" yielded a relatively higher rate of subject admissions. Subject admissions in the category "Subject Cooperation" showed a very low index but this is more likely due to the fact that falsifications were also included in the definition of this category. Although subjects tended to admit criminal records, they also tended to falsify data concerning dishonesty, especially when the data was not a matter of record. Apparently they also tended to withhold circumstances which fit the largely subjective category of "Irresponsibility" and we note, not surprisingly, that this category also yielded a rather high index in the "Not Asked" column. Again, it was not surprising that subjects apparently were not usually asked the highly personal questions concerning "Immoral Conduct" but we were somewhat surprised to observe the high indices in the "Not Asked" column for "Financial" and "Medical" information. These observations tend to support the earlier suggestion that there is room for improvement in the scope of questions asked of applicants.

Figure VI-4

**Productivity Indices and Subject Admissions
by Category***
(All Adverse Factors; No Previous Investigation)

Category	Admitted	Falsified	Not Asked
A Subject Cooperation	.04	3.59	.04
B Loyalty	1.05	—	1.98
C Foreign Connections	2.03	.11	—
D Dishonesty	.79	1.52	.84
E Irresponsibility	.54	1.36	1.47
F Immoral Conduct	.88	.64	2.15
G Financial	.51	.36	2.60
H Medical	.70	.29	2.32
I Drugs and Alcohol	1.43	.66	.56
J Criminal (other than above)	1.54	.48	.53
K Other	.72	.26	2.31

*Note: Indices derived from dividing percentage of each subset by percentage of total. For details, see Appendix C-33.

Example: 2 of 477 "admitted" cases are in the "subject cooperation" category—0.419 percent. The 92 "subject cooperation" cases are 9.701 percent of the total set of 999. The 0.419 percent subset divided by 9.701 percent produces a productivity index of .04.

Section VII

Conclusions

Although it is useful to explore the entire report with supporting documents and to question the occurrence or non-occurrence of a variety of phenomena appearing therein, the most pertinent conclusions derived from this study are listed here. Again, it should be remembered that the recognized need to acquire positive information about nominees for SCI access or security clearance was not addressed in this survey.

1. As noted in Figure II-2, the ratio of data resolved against the individual to adverse data varies widely from agency to agency. Such wide variations suggest that efforts to achieve standard adjudication practices should at least consider different agency needs, particularly in the matter of suitability requirements. (See Section II.)

2. Except for cases in which the polygraph was used, adverse data in this study relating to drug abuse appear to be especially low. (Section II, Figure II-7.)

3. Approximately 84% of the adverse data in this study was captured within the target period of coverage, 90% within the target period of coverage plus three years, and 95% within the target period of coverage plus five years. Much of the data acquired outside the period of coverage was from the "newer" end of the scale rather than the "older"; nevertheless, much significant information was acquired in the 10- to 15-year range. (See Section III.)

4. As shown below, target periods of coverage of seven, 10, or 15 years risk losing significant adverse data, including data resolved against the individual. This survey identified six cases in which a 15-year period of coverage acquired data significant enough to resolve against the individual. Put another way, data resolved against the individuals in those six cases would not have been identified with less than a 15-year period of coverage. (Section III.)

A Period of Coverage of	Would Risk Losing	
	Significant Adverse Data	Resolved Against Data
5 Years	28%	22%
7 Years	17%	11%
10 Years	9%	3%
15 Years	4%	0%

5. Police checks, developed sources, and to a lesser extent, employment sources (both record checks and personal interviews) were very productive for the target period of coverage of seven years or more. (Section III.) The one target period of coverage group which was singularly unproductive (the five-year group) was characterized by an extremely low number of developed source factors. (See Appendix C-19.)

6. A standard 15-year period of coverage would appear to require no more than a 32% increase in effort compared to the sample included in this survey. It is noted, however, that this increase in effort would vary by agency from 13% to 126%. (Section III.)

7. Cases previously subjected to a background investigation or to a special background investigation still produce enough adverse and resolved against data to support the concept of periodic reinvestigation. While the polygraph examination was by far the most productive source of adverse data in cases previously subjected to field investigation, the police check was also very strong; to a somewhat lesser extent, the employment checks were very productive as well. These cases produced significant amounts of adverse data in the categories of homosexual activity, drug abuse, and criminal activity. Of the cases previously subjected to field investigation, 70% of the data was less than five years old. (See Section IV.)

8. In rank order, the most productive as unique sources of data resolved against the individual were the polygraph examination, the subject interview, the employment personal interview, the police check, and the developed source. The developed source rose to second place in the rankings for shared source productivity. The rank order for productivity of adverse data again placed the polygraph examination and subject interview first and second, respectively, followed by the police check, the developed source and the employment personal interview. (See Section V.)

9. Unlike the pilot study, this survey included data compiled from the polygraph examination. It proved by far to be the most strikingly productive source when compared to all other sources. The polygraph examination was found to be particularly effective in acquiring adverse data on drugs and alcohol, immoral conduct, and foreign connections. (See Section V and Appendix C-24.)

10. Personal interview sources generally appear to be generally more productive than record sources. (Section V.)

11. The residence check was a unique source in less than 2% of the adverse or the resolved against data but did overlap with other sources in slightly more than 3% of the resolved against data. As might be expected, education checks (both records and personal interviews) and listed references fared even worse as unique sources. (Section V.)

12. The National Agency Check (NAC) generally was not very productive as a unique source of either adverse or resolved against data. (Section V.)

13. Subject interviews by professional investigators tend to be more productive than those by non-professionals but the results of the survey suggest that even the professional interviews ought to be expanded in scope. (See Section VI.)

APPENDIX A

1977 STUDY

Appendix A

1977 Study

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Section I

Introduction

In the spring of 1977 a working group of the Security Committee undertook a pilot study to measure the effectiveness of background investigations. The Committee was concerned about conflicting claims among security experts about the relative effectiveness of different scopes of investigation, in terms of both years of coverage and types of source contacted. Tab I-A summarizes the current investigative standards of various agencies and the DCID-1/14. The Committee was also concerned that to date there has been no comprehensive effort to compile or analyze such data, with the result that most decisions concerning scope are being made solely on the basis of either costs or intuitive feeling.

Five agencies participated fully in the current study and a sixth conducted a parallel review of its own cases, furnishing partial results which have been merged where possible with the results of the primary study. (See Tab IV-A.)

Previous Studies

A. A number of studies by various agencies have attempted to analyze the effectiveness of Background Investigations (BI) or aspects thereof, including such matters as years of coverage and productivity of sources.

B. Some were very superficial and some very comprehensive. The two best documented, the DOD Major Issues Study of 1970 and the more recent DOD PSWG Study, carefully limited their objectives and, accordingly, their conclusions.

C. Some common limitations of previous studies:*

1. Most studies seem to have been inordinately influenced by costs which, while important, ought not to be the primary determinant.

*These comments do not refer to the CIA studies of 1973 and May 1977, which are classified and have not been disseminated.

2. None has considered years of coverage.

3. All have been limited to what adverse information was acquired and from what source. All have assumed that the cases under scrutiny did, in fact, acquire all data about the individual which would have been relevant. None have recognized the possibility that something significant might have been missed, e.g., by not checking enough sources, not checking the most knowledgeable sources, or not going back far enough in time.

4. None recognized the need for positive information about a person's strength of character or about his or her identity. The Major Issues Study did include these points in its preliminary statement of limitations, but drew final conclusions which ignored them.

5. None considered, much less attempted to measure, the deterrent effect of a BI on a prospective applicant who may realize he or she could not survive such scrutiny.

6. The current study, it must be emphasized, is also limited and suffers some of these same drawbacks.

These represent areas which should receive further attention before any final decisions are made to revise the scope, or specifically to reduce the period of coverage or the types of sources checked.

**Objectives of the
Current Study**

The objectives of the present study were:

- a. To determine whether certain types of sources or certain investigative techniques, such as the personal (subject) interview, are more productive than others.
- b. To determine whether some sources consistently duplicate information available elsewhere.

- c. To determine how far back in time we ought to investigate to have a reasonable probability of acquiring at least a clue to significant information.

We recognize that any inquiry must be pushed back in time to resolve or clarify significant problems. The key question, then, is what minimum period of coverage for each type of source does experience suggest is necessary to be sure we learn at least that a problem may exist which requires further investigations?

TAB I-A

Investigative Coverage

			DIS		STATE	CSC	CIA	PROJ 10	DC ID 1/14
			BI	SBI					
Basic POC			5	15	7	5	15	5	15
Birth			a	×	a	a	×	×	×
Citizenship subject			a	a	×		a	a	a
spouse				a	a		a		a
other				a			a		a
Education	A High School	R		15 if no B	7 if not 2 of B	5 if no B	15	5	15 if no B
		I		5		5 if no B	15	recent	5
	B College	R	all	all	7	all	15	all	all
		I	5	5	7	recent	15	recent	5
	C Business, Technical, Trade	R	all	15	7 if full time		15		15
		I	5	5	7 if full time		15		5
	D Correspondence	R					15		
		I					15		
Last Claimed even if prior to POC			B	B	last B	B		B	B
Employment	Federal	R	5	15	7	5	15	c	15
		I	5	10	7	5	15	c	10
	Other Full Time	R	5	15	7	5	15	c	15
		I	5	10	7	5	15	c	10
	Part Time	R	5	15	7	5	15	c	15
		I	5	10	7	5	15	c	10
	Temporary	R	5	15	7	5	15 ^d	c	15
		I	5	10	7	5	15 ^d	c	10
	Gaps Covered							c	
	Military Service	C			×				
	R			7	15		15	15	
	I						1 ^b (180)		
Neighborhood			5	5 ^b (180)	current ^b (30); 2 ^b (180)	3	15 ^d	5	5 ^b (180)
References listed			0	0	2-3		judg		judg
developed				3+	2+		3		3
Total				judg	4+	judg	judg	judg	judg
Police			5	15	7	15	15	5	15
Credit			a	5	current only	15	a	5	5
Divorce			R		×			×	
			I		×				
Personal Interview before				×	×				if foreign ties
after clarification			×	×	×	×	×	×	×
Local FBI FO						5		5	
Coverage of Spouse				NAC	NAC ^c		NAC		NAC

- a - checked only if indicated appropriate by papers or investigation
b - point covered if within indicated period of years but only if (days) or longer
c - recent 3 years all over 30 days; previous 2 years all over 60 days
d - not covered if an isolated lead
e - fingerprint check

Section II

Method of Study

A. This study examines all cases handled by the participating agencies during a two-month period. For agencies A, B, C and F, they were all cases considered for SCI clearance using DCID-1/14 standards and the period was March-April 1977. For agency E, the cases were all applicants being considered for initial Top Secret clearance and the period was April-May 1977.

B. Regular adjudicators completed the data sheets as they handled the cases. Their instructions are shown below.

C. In defining the categories of significant adverse information, the current study drew on the experience of the DOD Major Issues Study, as well as the categories used by CIA in its recent study. The current project, however, reduced the categories in number by consolidating certain sub-categories of closely-related types of data. The current study also attempted to re-define categories in terms of their relevance to the adjudication process. For example, if an individual was fired from a job for stealing, the data was recorded as a theft with the employer cited as the source. By this approach it was hoped to eliminate such vague categories as "unsatisfactory employment record."

D. Another approach in the current study was to request adjudicators to estimate how far back in time it was actually necessary to go to acquire the data they needed to make their decisions. The study attempted to be conservative in this respect and sought the most recent date which revealed sufficient hint of the significant information to warrant expansion of the investigation.

E. A few of the data sheets submitted neglected to show some information and, where it was deemed necessary to the study, the missing data were sought by referral back to the adjudicator. In some phases of the study, sheets still missing some data were simply left out of the particular correlation.

F. A number of sheets showed apparent error or misunderstanding on the part of an adjudicator. Where errors were obvious, they were corrected on copies used in the analysis. The originals of those sheets have been retained intact for further review if appropriate. For example, where an arrest record clearly showed the matter involved theft or was drug or alcohol related, the adjustment was made from category J to category D or I, respectively, with police (or NAC) shown as the source. Most errors corrected were to the "safe" side or the least distorting. Thus, it is believed that such corrections did not significantly skew the results of these analyses. Clearly, in any further studies, we would want to avoid or minimize any need for such corrections. A number of types of data, cited by adjudicators as significant, were moved to the "substantially clear" category for the analysis. (See Tab IV-A, lines 4b, 4c, and 4d.) The following types of information were in this category:

1. Juvenile arrest data, if revealed only by the subject and not by any other source;
2. Information concerning drug experimentation, if revealed only by the subject and not by any other source;
3. Information concerning drug abuse, if revealed only by the subject who entered a voluntary rehabilitation or amnesty program (2 cases); and
4. Adult misdemeanor information clearly shown as minor traffic violations such as parking or speeding tickets. If the incident involved driving while intoxicated, an accident, an excessive number of violations, or if the details were not shown, the data were retained in the analysis.

G. Also removed from the analysis were data concerning foreign relatives. Such data was retained, however, if it was revealed only by the background investigation, that is, if it was *not* revealed by the subject.

H. One case of a denial was removed from the analysis because the reason was not shown and could not be determined.

I. After the 127 cases with less significant information were removed as noted above, there remained 300 cases which were subjected to various analyses and correlations as shown in the data summaries. (See Section IV.) These cases included a total of 365 "bits" of significant data. The 300 cases included 42 denials.

J. A "bit" signifies a specific type of category of incident or character trait, as defined on the reverse of the data collection sheet (Tab II-B). Thus, if an individual had been implicated in several incidents involving drug abuse, even including arrests, a single "bit" was shown, in this case, "I." Similarly, no matter how many sources had reported the individual's problems, it was still shown as a single "bit."

K. The relative productivity of sources was examined by identifying the various sources for each category of data and charting the results according to source, group of sources, or technique. Figure II-1 shows an example of the chart. Since the analysis in each case was limited to significant data acquired and from where, that is, since it excluded substantially clear cases, the upper left quadrant is always blank. The lower right quadrant represents the overlap, i.e., the data revealed by both sources (or groups of sources) being correlated. The upper right quadrant represents data revealed only by the source (or group or technique) identified at the top of the figure, and the lower left quadrant represents data revealed only by the source identified at the left margin of the figure. Data is usually shown in terms of number of "bits" or cases and in percentages of the total data being examined.

Objectives of Study

1. To determine whether certain types of sources are more productive than others.
2. To determine whether some sources consistently duplicate information available elsewhere.
3. To determine how far back in time we ought to investigate to have a reasonable probability of acquiring at least a clue to significant information. We recognize any inquiry must be pushed back in time to resolve or clarify significant problems. What minimum period of coverage for each type of source does experience suggest is necessary to be sure we learn at least that a problem may exist which requires further investigation?

Directions to Adjudicators

Complete the form for any case, other than a routine update, whether or not significant adverse information was revealed. For a completely clear case, all we need is the data in the upper part of the sheet, including year of birth and year of investigation.

If the subject was previously investigated, e.g., by another agency, which meant that the current investigation was reduced in scope to cover only the period since the previous inquiry, put the year of the previous investigation in the box, "Applicant investigation updated from:".

If the current investigation is an updating required to meet DCID-1/14 standards for an employee who was

Figure II-1

Data Being Analyzed		Source	
		No	Yes
Source	No	Always Blank	
	Yes		Overlap

previously investigated and cleared for lesser access (e.g., a DOD employee given a BI for TS clearance now requires an SBI), show the year of the previous investigation in the box, "DCID-1/14 investigation, updated from:".

Do *not* submit a sheet for any routine re-investigation, such as the five year update, or for any special inquiry prompted by a current allegation.

Code: Show the code for the type of significant information on the line for each source which revealed it and in the column for the year the incident occurred or the trait was manifest.

If a former supervisor reports the applicant was fired for stealing from petty cash and a neighbor reports he was fired but the neighbor does not know why, mark D1 on the supervisor line *and* on the neighbor line in the column of the year he was fired.

If a police record shows the applicant was arrested twice for being drunk and the applicant admitted only one arrest, put I3 on the police line in the two columns showing when he was arrested, put I3 in the PHS and/or PI line in the column of the arrest he admitted, and put A3 in the column of the arrest he failed to disclose.

When a problem or situation has extended over a period of time, mark the code in the latest year known to apply.

If an applicant's PHS shows he has close relatives now living in Eastern Europe, put C2 on the PHS line in the YOI column.

If a college instructor thinks the applicant is emotionally unstable and gives examples, put H2 or H3 in the column of the latest year the instructor had direct contact with the applicant.

If the case was updated from a previous one which revealed significant information, note the code for each type of such information on the NAC(+) line in the pertinent year column. If the current inquiry

confirmed any of the same data, also show the code on the appropriate source line and in the pertinent year column.

Estimate of minimum coverage: The adjudicator is asked to estimate the minimum coverage in years which would have been necessary in the particular case to be sure of turning up the significant data. This does not mean how far back we might have had to go to confirm or refute a matter; we assume the investigator will do whatever is necessary once the problem is surfaced. How far back did we have to go to surface the problem? One way of testing your estimate is to assume the scope was one year less than your estimate. Would that lesser scope have given us the leads we needed? In making this estimate, do not count the NAC, PHS or PI but, if any of those three would reduce your estimate, put an asterisk after the number in the box.

Key source: If a type of significant data was revealed by two or more sources, not counting the PHS and PI, circle the code for that bit of information on the line of the source you regard as the "key" source. This is not necessarily the best or most probative source, nor is it necessarily the most recent or the one the investigator came to first. It is largely a judgment call but is best summed up as the *one* source of the two or more which reported the information which the least coverage (in terms of both time and type of source) would have included. Examples:

If the NAC(+) was one of the sources of a category of information, circle the code on the NAC(+) line.

A neighbor reports the applicant was arrested for drunkenness in a town where he neither lived nor worked and which would not have been checked. The police there confirm it. For some reason, the NAC does not reveal it. Circle I3 on the neighbor line.

Same situation as above but the arrest was in the same town the applicant lived in and police were routinely checked. Again, the NAC is clear. Circle I3 on the police line.

Certain types of data, e.g., the A category and C3, need not have a key source marked.

Circle a code on the PHS or PI line only if the PHS or PI led to a corroborating source we would not otherwise have checked.

If in doubt as to the key source, explain very briefly in notes.

without any recurrence in the past 5 years *and* which you considered to be of any significance at all, not necessarily that it served as a basis for denial.

Examples:

Expelled from college for cheating on exam, 13 years ago;

Fired from job for fighting, 7 years ago;

Arrested for indecent exposure, 17 years ago.

"Old" information: Explain very briefly in the notes any adverse data which was older than 5 years but

TAB II-A

Sources of Significant Information

Agency Code

Case Number []

Applicant investigation
updated from

Purpose ☐ SCI ☐ TS

Result ☐ granted
☐ denied
☐ non-selected

DCID-1/14 investigation
updated from

		Year of birth		pre-15	-15	-10	-5	YOI
EDUCATION	High School	Record						
		Instructor						
	College	Academic record						
		Other record						
		Instructor						
		Other person						
EMPLOYMENT	Record							
	Supervisor							
	Co-worker							
RESIDENCE	Landlord							
	Neighbor							
RECORDS	Police							
	Credit							
	NAC(+)							
	BVS							
Listed References								
Developed Sources								
Other (see notes)								
PHS, PSQ, SF-86, etc.								
Personal Interview								

ESTIMATE minimum period of coverage to assure acquisition of relevant adverse data: years

CIRCLE key source, if appropriate (see Directions)

Notes:

Tab II-B

Types of Information

A. SUBJECT COOPERATION: (1) refusal to furnish information; (2) refusal to give release; (3) falsification of application; (4) false identity.

B. LOYALTY: (1) treason; (2) espionage; (3) sabotage; (4) subversion; (5) disaffection.

C. FOREIGN CONNECTIONS: (1) citizenship; (2) relatives, hostage; (3) life abroad cannot be verified.

D. DISHONESTY: (1) theft, burglary, forgery, fraud; (2) lying, cheating, plagiarism.

E. IRRESPONSIBILITY: (1) violation of security regulations; (2) insubordination; (3) draft evasion, desertion; (4) poor judgment; (5) scofflaw; (6) family desertion.

F. IMMORAL CONDUCT: (1) sexual perversion; (2) heterosexual misconduct; (3) other.

G. FINANCIAL: (1) irresponsibility, living beyond means; (2) excessive indebtedness, refusal to pay debts; (3) unexplained affluence; (4) excessive gambling.

H. MEDICAL: (1) mental illness or impairment; (2) emotional instability; (3) inability to cope with stress.

I. DRUGS OR ALCOHOL: (1) experimentation; (2) drug abuse; (3) alcohol abuse; (4) drug trafficking.

J. CRIMINAL (other than above): (1) juvenile; (2) adult misdemeanor; (3) adult felony. (Explain offense in notes.)

K. OTHER: (Explain)

Notes (continued):

Section III

General Assumptions and Limits of this Study

A. Any case in which potentially adverse or other significant information is discovered, no matter what the source, will be expanded as far back in time as necessary to resolve the matter. This includes corroboration of data amenable to proof as well as acquisition of other data to offset or give perspective to information not capable of direct confirmation or refutation.

B. Supplementary techniques, such as polygraphing an applicant in advance, and similar procedures which have the effect of screening candidates against suitability or security criteria, would tend to skew the results of this study, both with respect to percentages of cases with adverse information and possibly concerning types of adverse and other factors. For this reason, the study does not include programs where such procedures are in effect.

C. Even so, the current study included a large number of persons already employed who presumably had already survived some scrutiny at the time of appointment and during the course of continued satisfactory employment. This fact, despite the apparent productivity of up-date investigations, undoubtedly skewed the results of the study somewhat toward the clear and away from the adverse.

D. This study does not consider other recognized personnel security needs: (1) to assure continuity of identity (see Tab III-A), and (2) to acquire *positive* information about the individual so as to permit a finding of trustworthiness. It is limited to an analysis of the effectiveness of the BI in identifying significant *adverse* information.

E. This study does not address the question of what the BI misses, if anything. It is limited to assessing the sources from which we *have* acquired adverse information and the minimum number of years which actually were needed to assure various degrees of probability of acquiring the requisite lead to that information. Moreover, it is limited to cases involving current clearance decisions and specifically does not include a review of "security failures," a category which logically involves more than the occasional spy, and does not examine the extent, if any, to which the investigation and adjudication procedures might have failed in such cases. Clearly, final decisions concerning scope of investigation ought to take this aspect into consideration.

F. It is recognized that there is probably no way to determine how many unsuitable individuals are deterred from applying by the knowledge that a BI will be conducted.

G. This study does not address the matter of costs, at least directly. Costs are, of course, a valid though possibly overemphasized factor. They ought to be considered before any final decision is made concerning scope, although any analysis of cost effectiveness obviously should consider all alternatives, not merely those of reduced scope. This study does seek to identify the percentage of cases which, due to the age of the applicant, would require up to 15 years of coverage under the most rigorous scoping standard. This may lead at least to a general idea of the added burden on resources which can be attributed to higher standards.

H. This study assumes that at least the appropriate Federal agencies will always be checked, no matter what the other changes in scope. This study does not distinguish the various elements of the NAC. It might be interesting to learn the relative productivity of the FBI fingerprint check vis-a-vis the name check, but that can be handled more easily as a separate study. For details of the present FBI fingerprint procedure, see Tab II-B.

I. This study does not assess the possible changes in the quality of sources, although similar studies over a period of years might illustrate any changes. For example, it should be possible to show the effects, if any, of "privacy" laws, the Buckley amendment, LEAA initiatives, fair credit laws, etc., on the productivity and candor of certain types of source.

J. No consideration is given to significant events on the international scene or in the individual's own life, which might suggest a specific period of coverage different from a standard. For example, we take no cognizance in this study of events comparable to the German attack on the USSR which prompted a 180 degree turnaround in the Communist Party line, nor do we consider "Socialist" lines on more recent international issues. Similarly, it is assumed that if there were any indication that the individual, for example, had spent a substantial period of time in Eastern Europe, the case would require expanded coverage as noted in paragraph A above.

K. This study does not assess the significance of such variations in background patterns as urban, suburban or rural residences; frequent moves vis-a-vis a more static life; and similar factors. The study may justify some tentative conclusion as to the relative effectiveness of neighborhood checks, for example, but will not break it down further to show whether, for example, rural neighbors are more candid or productive than urban neighbors. Nor will it show the effect of short term acquaintance vis-a-vis longer term. Similarly, no attempt was made to assess the relative efficacy of an education check on a graduate student as compared to the undergraduate.

L. Further, it is recognized that some of the arbitrary decisions as to how to log an incident in the time frame may be said to distort the reality of the case. For example, an applicant has lived in the same house the past 10 years. His neighbor has known him all that time and recalls a potentially significant incident which occurred 7 years ago. Although in theory a one-year period of coverage for neighborhood checks (or even less) would have revealed this information, we log it at 7 years back to show that for this case (and its value as a statistic) a 7-year period of coverage would be required to capture the data. It is clear that to acquire it the investigator would have had to find a knowledgeable neighbor who knew the applicant 7 years ago. Moreover, in this example at least, a 7-year period of coverage, presumably, would have been no greater a burden on investigative resources than a one-year period of coverage. As our data collection is set up currently, however, we are unable to make these finer distinctions which are probably better saved for a later phase of this effort.

M. This study does not include a variety of other types of data which might be of interest to the security manager and which could be acquired easily by amending the data collection sheet or instructions. For example, data concerning the number of points per investigation and the number of sources requesting confidentiality could be included in the sheet as it is now set up. Similarly, no attempt was made to distinguish the relative effectiveness of employment or educational records as distinguished from source interviews at those places. With minor modification it should also be possible to learn more about the adjudication process, what kinds of information are more significant than others, and what factors, such as the passage of time, influence the clearance decisions. But again, these matters should await the later phases of the program.

N. The present study was limited in scope. It covered only six agencies. It was limited largely to persons considered for SCI clearance although some applicants were included. It covered only a two-month period which, for State at least, was notable for a large number of younger people being hired for summer jobs. This almost certainly skewed the data concerning age groups. It also appears that some of the adjudicators made errors in completing the data sheets.

TAB III-A

Excerpt from
Congressional Record—Senate
June 22, 1976, pp. S10152-57
“False Identification: A Pro-
liferating Problem”
(*Withdrawn*)

Tab III-B

FBI Fingerprint Checks

FBI fingerprint files are managed by the Identification Division. These files are completely separate from the main FBI investigative files and a fingerprint check does not include a check of the latter files.

The essential purpose of the fingerprint check is to determine whether any previous record of a criminal nature is on file. A search can be made, if necessary, to determine whether a non-criminal submission has been made previously, but this is not routine procedure with the NAC fingerprint check and ordinarily should not be requested.

The primary method of identification and file search in the Identification Division is by fingerprint classification, using all 10 fingers. Although there is a technique for coping with scars or amputations, the basic classification system requires legible prints of all 10 fingers for routine filing and search.

As an internal aid, solely to promote efficiency, the Division maintains card indices of the names appearing in the name block and, if different, the signature block of prior submissions. These indices are in two main parts, criminal and non-criminal, depending on the nature of the prior submission. When a new chart is submitted, the names from the name block and, if different, the signature block are checked in the card index of prior criminal submissions only. The non-criminal index is not checked routinely. The check of the criminal name index is basically an internal aid to expedite the search for a criminal record. Due to the volume of such cards and the possible variations of most names, the name index search generally is limited to the exact name appearing on the newly submitted chart. If the signature shows a variation, that, too, will be checked. As a rule of thumb, when there are many index cards on the same name, the searcher may check as many as fifteen or so to see if there is any further match, e.g., DPOB or primary fingerprint classification. If a tentative hit is made, indicating at least one prior criminal submission, the procedure skips immediately to a check of the prior submission to determine if the prints match.

If the tentative hit does not match the current chart or if no practical hit is made in the name index, the chart is then sent to the fingerprint files for technical search.

The technical files are maintained in two basic parts, criminal and non-criminal, although there are further breakdowns in each. Only the criminal print files are searched routinely. This is the key check which is considered the most accurate aspect of the "fingerprint check." The 10 impressions are classified and are then searched in the prior criminal submissions according to that classification and any reasonable variations.

To facilitate the search of the criminal records, which are very voluminous, they are separated into parts. One contains records of individuals shown on the chart to be 54 years old or younger, another for those shown as 55 or older. Using a five-year possible variation in age, an incoming print will be checked only in the "younger" files if the person is 49 or younger, both files if 50 to 59 and only the "older" files if 60 or more.

Fingerprint charts will be removed from the criminal files under the following circumstances:

1. If the individual is reliably reported to be deceased;
2. When the individual reaches 80 years of age; or
3. If the original contributor requests the return of a specific submission, either upon a court order for expungement of a criminal record or for any other reason. The FBI will not remove a chart from the files merely on the request of the individual, although, in accord with the Privacy Act of 1974, it will accept any additional information the individual wishes to submit.

From the foregoing, it is clear that when a criminal record is submitted for a person who has previously been checked only for non-criminal purposes, such as for Federal employment, the current check will not necessarily reveal the prior employment check, even if the current chart shows the exact name given in the previous chart. As a matter of established policy, however, the FBI will ascertain the Federal employment and will inform the CSC or the employing agency if:

1. The current criminal chart shows Federal employment; or
2. The individual also had a prior criminal chart, which routinely would have been consolidated with a subsequent non-criminal (employment) submission.

Stated another way, the FBI would not make the connection between a current criminal submission and a former non-criminal (employment) submission, even if the person used the same name as in his employment check, unless the current chart shows Federal employment or unless the person had a criminal record which predated the employment check and with which the employment record was consolidated.

If the FBI does become aware that a current criminal submission relates to a Federal employee and so advises the CSC or the employing agency, it does not advise of further disposition of the matter, leaving such follow-up to the agency concerned.

The Identification Division advises that the most common problem they encounter with employment checks is the submission of illegible prints. The Henry system of classification is an intricate procedure which requires clear prints of all 10 fingers and which incorporates certain aspects of those impressions and their relationship to one another into a final classification by which the cards are filed and searched.

Although some people, such as bricklayers and dishwashers, may have barely legible prints, most illegible prints are due to carelessness on the part of the person taking the prints. The FBI has no choice but to return such charts. When re-submitting a chart, the FBI suggests stapling the new chart to the old illegible one, with the idea that between the two enough of the prints can be read for proper classification.

Section IV

Observations

A. Review of the General Summary of Data (Tab IV-A) reveals a number of intriguing points.

1. The ages of the persons investigated show remarkable variations from agency to agency. (See lines 10 and 11, and Tab IV-B.) For the military agencies (A, B, C, and F) the median age was over 30. For agency E (one of the two civilian agencies), on the other hand, it was 21. Part of the difference may be due to the nature of the cases studied, i.e., largely applicant cases for agency E vis-a-vis SCI clearance for military, which included new personnel as well as senior personnel moving into more sensitive positions later in their careers. Whatever the reasons, it seems evident that higher investigative standards are a substantially greater burden on resources for agencies A, B, C, and F than for agency E. The current study attempted to estimate the impact of various standards of coverage on resources but finally gave it up as premature and too speculative given the limitations on the data currently available. It is a matter, however, which must be addressed before final decisions are made concerning scope, inasmuch as scope, resources and the degree of assurance are inextricably interrelated. (See paragraph E-7 below.) The key point to be observed here is that, because the spectrum of ages is not uniform, changes in coverage requirements will result in different changes in resource needs for different agencies. Moreover, it seems clear that, for example, a one-third cut in coverage will not amount to a one-third reduction in resource requirements but something less than that.

2. Update investigations were surprisingly productive, considering that the individuals had been subjected to earlier, presumably clear investigation. (See lines 13 and 14.) Six of these cases resulted in denial. All six involved drug or alcohol abuse occurring since the previous investigation. Three of the six also involved additional factors.

3. Other features of the General Summary also merit perusal, if for no other reason than to prompt curiosity about the differences from one agency to the next.

B. The Personal Interview of the subject, as a preliminary procedure, seems to be a useful source of information. The correlation shown here was limited to the State Department results only, since it was not clear whether the investigations conducted by other agencies included a routine interview at the outset of the investigation or were limited to confrontation interviews after discovery of significant information elsewhere. Also, it was not clear whether personal interviews in the other agencies were conducted by investigators, as the State cases were. For any future study, the data sheet should be amended to reflect these distinctions. In the State analysis, the Personal Interview revealed 38 of the 70 bits of significant data acquired or 54%. The BI plus the NAC revealed 52 bits or 74%. The PI revealed 26% of the data not revealed by the BI or NAC. The BI and NAC revealed 46% of the data not revealed in the PI (see Figure IV-1). Clearly, if these results are typical, the PI is useful in acquiring significant data but it cannot stand alone. Of course, there are other advantages in the pre-investigation personal interview.

C. Productivity of the NAC:

1. The correlations regarding the NAC show a rather low rate of productivity for the NAC. These correlations include all bits of data but may be skewed in two respects. On the one hand, the large numbers of military personnel on board presumably have kept reasonably clean records and one would not expect as high a rate of return from the NAC on them as on the general population of previously untested applicants. On the other hand, it appears that some of the NAC return shown in the "NAC only" block actually included military records shown as NAC whereas they more properly might have been logged as employment records rather than NAC.

2. Figure IV-2 indicates that the NAC revealed 18% of the 365 bits of significant data in the study. Half of that (9% of the total) was also revealed by the BI, which included the PI. 82% of the data, however, was revealed only by the BI (including the PI).

3. To ascertain the relative significance of the data revealed by each procedure, another correlation was made, limited to the data which resulted in denials. Figure IV-3 indicates a slight drop in the productivity of the NAC. If results of this small sample hold true, it is clear that the NAC alone ought not to be relied upon in granting clearances for access to the more sensitive information. (For the effectiveness of the NAC in combination with other sources and techniques, see paragraph D below.)

4. Figure IV-4 shows the relative productivity of the NAC and the police check. It is noted in passing that these two sources accounted for 161 or 44% of the 365 bits of significant data revealed in the entire study. As might be expected, the productivity of the NAC was somewhat higher than when compared with the complete BI, but still, with an overlap of only 19%, did not match the effectiveness of the police check.

Figure IV-1

State only (bits)		BI Including NAC	
		No	Yes
Personal Interview	No		32 46%
	Yes	18 26%	20 29%

Figure IV-2

All Agencies (bits: 365)		NAC	
		No	Yes
BI Incl PI	No		33 9%
	Yes	298 82%	34 9%

Figure IV-3

All Agencies; Denials Only (bits)		NAC	
		No	Yes
BI Incl PI	No		3 4%
	Yes	63 89%	5 7%

D. While a number of additional source-by-source correlations would be possible, it was felt that the limited objectives of the current study did not justify the effort. The only further correlations attempted, therefore, were according to combinations of sources, to ascertain whether any particular combination seems to be especially effective. It should be noted, too, that these analyses are limited to denials only.

1. Figure IV-5 portrays the relative productivity of the combination of the NAC, the PI, and police and credit checks vis-a-vis all other sources. We are not sure how many of the PIs were true preliminary personal interviews rather than confrontations (or indeed how many of the military cases actually included PIs) but the record check-personal interview combination seems somewhat productive, accounting for 79% of the information on which denials were based. Still, 21% of the denial data had to be acquired elsewhere. It seems unreasonable to forego that type of information by reducing the investigative standard to this level, even for the Secret clearance.

2. Review of the summary of data by source (Tab IV-C) indicated that employment checks were of relatively high productivity, and the next correlation, therefore, involved moving Employment from the "Other" source group into the record check-personal interview combination. Figure IV-6 examines the bits of data in the denial cases, and the productivity of the new combination jumps dramatically, accounting for 93% of the data, compared to 7% which had to be acquired elsewhere. To assess the relative significance of those bits, the next run, shown in Figure IV-7, considered only the cases. In our small sample of 42 denials it turned out that the 7% of the bits of data acquired only from "other" sources happened to occur in cases in which other denial data was acquired only from the record check-personal interview-employment combination, with the result that, when considered on a case basis, the latter combination accounted for every denial. None of the denial cases depended on information acquired solely from the "other" group of sources. If these results were to hold true in a more comprehensive study, it would seem that checks of education, residence, listed references and developed sources essentially duplicate data received from record

checks, employment checks and personal interviews. This observation, of course, does not take into consideration any other advantages there might be in checks of the former group of sources.

E. The final phase of the study was to examine the period of coverage actually necessary to acquire significant data. The results are shown in Tabs IV-D through G. Of the 300 cases involving significant data, 11 could not be included in this analysis due to incomplete data. In all four charts, the theoretical period of coverage, the horizontal axis, is based on the individual's age as adjusted to account for any previous investigation. It should be remembered that in determining the actual years required to gain a hint of significant information, the minimum period of time is cited, not the period as expanded to clarify the matter.

1. Tab IV-D identifies the actual numbers of cases according to the theoretical period of coverage (horizontal axis) and the actual number of years needed to acquire the data (vertical axis). Tab IV-E translates the same data into percentages (or, if the results hold true in more comprehensive studies, probabilities) of capture.

2. It is interesting to note that 40 cases (13.8%) acquired significant data outside the theoretical period of coverage. This is based on the assumption that any investigation will cover at least two years of the individual's life. The figure is 32 cases (or 11%), if we go by the DOD standard of "15 years or back to 18 but not less than 3." Inasmuch as these cases were not expanded to capture the data, it suggests a phenomenon we tend to forget, that is, that actual coverage in terms of source knowledge of the individual seldom conforms precisely with the theoretical period of coverage. We assume that case supervisors and adjudicators will assure the coverage does not fall short, but it is evident that many sources, both records and persons, will have knowledge which pre-dates the specified period of coverage. In the current study this was most pronounced at the two ends of the age spectrum, the younger people and those 33 years of age or older. The significance of this phenomenon may be assessed by referring to Tab IV-F, which charts the denials only. The phenomenon was most significant only with regard to the younger individuals. While the current

Figure IV-4

All Agencies (bits: 161 of 365 Total)		NAC	
		No	Yes
Police	No		33 20%
	Yes	98 61%	30 19%

Figure IV-5

All Agencies; Denials Only (Cases)		NAC + PI + Police + Credit	
		No	Yes
Employment + Education + LR + DS + Residence	No		12 29%
	Yes	9 21%	21 50%

Figure IV-6

All Agencies; Denials Only (bits: 70)		NAC + PI + Police + Credit + Employment	
		No	Yes
Education + LR + DS + Residence	No		53 76%
	Yes	5 7%	12 17%

Figure IV-7

All Agencies; Denials Only (Cases: 42)		NAC + PI + Police + Credit + Employment	
		No	Yes
Education + LR + DS + Residence	No		27 64%
	Yes	0	15 36%

study was unable to account more precisely for the phenomenon, it might be possible with refinements to correlate it with the more stable personal backgrounds, those in which the individual had longer periods of employment at the same job or longer residence in the same locality. If so, this might suggest ways in which investigative standards might be altered for greater cost-effectiveness. For the present, however, no conclusions are drawn.

3. There was a noticeable gap between roughly the 10-year line and the theoretical period of coverage line for the group which required 11 to 14 years of coverage. We could not determine why. It might have reflected the fading of memories, or less comprehensive field coverage. But these factors would apply even more so to the group of cases requiring 15 or more years of coverage, and yet the "capture" rate for that group was spread fairly evenly through the whole 15-year period. (See the 15-year column on Tabs IV-D and IV-E.) Figure IV-8 shows the relative productivity of the 289 cases in the sample according to period of coverage groups (lines 2 and 3). The marked drop in denials for the groups requiring 11 or more years of coverage is not matched by the rate of productivity of significant data for the same groups. It is further noted, however, that, as might be expected, these "older" groups are also characterized by a higher incidence of up-dates, i.e., there were previous investigations which presumably were either clear or revealed data of so little significance that earlier clearances were appropriate. The combination of all these factors, plus the rather small sample involved in this study, may account for the apparent gap noted above. For this reason, it is believed that no firm conclusion is deserved yet concerning the productivity of higher periods of coverage, at least with regard to applicants.

4. Taking into consideration the vagaries noted in paragraphs 2 and 3 above, it appears that the 100% capture line very roughly approaches the theoretical 15-year period of coverage line although there may be a slight drop in productivity at the upper limit. It would be interesting to compare these results with cases in which the whole life or whole adult life of the individual were included in the scope.

5. While this observation necessarily is subject to several qualifications, it appears from the current study that reduced investigative coverage would have risked losing relevant information according to the data shown in Figure IV-9.

6. In the chart at Tab IV-G, a line representing the "capture" line of 95% of the significant data (from Tab IV-E) has been superimposed on the chart showing denials. This line, if smoothed out, especially for the 9- to 15-year period of coverage, would adequately cover all of the denial data in the study.

7. If the techniques used in this study were to be adopted permanently to cover all or the majority of agencies so as eventually to build a sound statistical data base, it should be possible to identify more precisely drawn lines of percentage (i.e., probability) of capture. It should also be a simple matter to estimate the costs of various levels of coverage and to present the security manager with clear, well-documented options. For example, line 15 in the chart at Tab IV-A indicates that in the current sample roughly half of all cases actually required more than 7 years of coverage. If the manager were to ask what the effect would be of reducing coverage from 15 years to 7, a 50% cut or theoretical savings in resources, he could tell by referring to the chart at Tab IV-E that his probability of acquiring significant data would be reduced from 94 to 81%. He could then decide whether the benefit would be worth the cost.

F. Some of the data collected, though cited by adjudicators as significant, clearly is not. (See Tab IV-A, lines 4-b, 4-c, and 4-d.) Part of the problem undoubtedly is the newness of this project and the imperfections of our instructions to the adjudicators. Still, the question persists, are we collecting irrelevant data? A more difficult question would be how to screen out such data without placing the investigator in the position of evaluating. On the other hand, across the board the sample revealed "significant" data in approximately 22% of the cases. This does not include the minor data moved into the substantially clear category. Roughly a sixth of the significant data cases

resulted in denials (3.6% of the total cases), while the remaining five-sixths (or 18% of the total cases) were resolved in the individual's favor. While no one has ever attempted to set guidelines in this respect, the five-to-one ratio does not seem unreasonable. More specifically, it does not appear that we are ranging too far afield in our investigations. More accurate conclusions on this point, however, probably should follow a more comprehensive analysis of the actual adjudication process.

G. Conclusions concerning scope or the productivity of sources would have greater impact if they could be based solely on cases resulting in denials. Statistical probity would require a substantially larger sample, however, and it might be reasonable to seek to include all denials by all agencies. Considering the 58 denials in the current study, the five agencies involved, and the two-month period covered (about 44 working days), it

appears that we had roughly one denial every four days for each agency. The highest estimate we received as to the time required for an adjudicator to complete the data sheet was ten minutes. Thus, presumably for about 15 minutes a week per reporting unit, we could build a data base of all denials. For that matter, since the total number of cases involving significant data was only six times that of the denials, it appears that for about an hour and a half per week per reporting unit, we could document all cases involving significant data. This all assumes, of course, that the data sheet is completed by the adjudicator who actually handles the case. Since it would also be desirable to extend the analysis to applicant cases, the numbers and thus the time involved, would increase but, from the data we now have, we cannot forecast how much.

Figure IV-8

POC Groups		2-5	6-7	8-10	11-14	15+	Total
1. Total Cases		597	207	197	157	438	1596
2. Significant Data	#	98	44	37	40	71	290
	%	16	21	19	25	16	18
3. Denials	#	18	8	8	2	4	40
	%	3	3.8	4	1.2	.9	2.5
4. Up-dates		30	21	41	66	256	414

Figure IV-9

A POC of	Would Risk Losing	
	Significant Data	Denial Data
5 Years	27%	7%
7 Years	19%	5%
10 Years	12%	0%

Tab IV-A

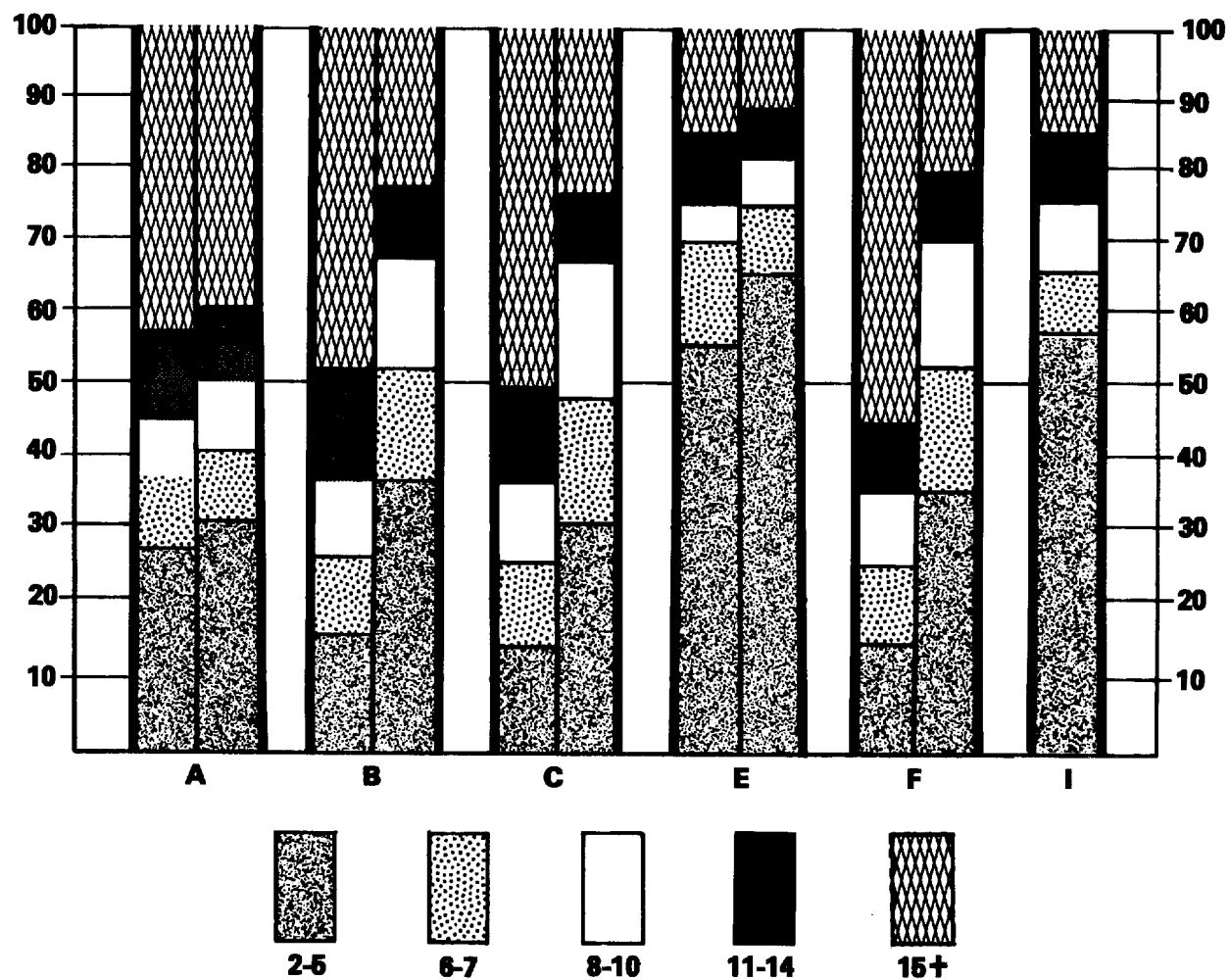
General Summary of Data

Agency	A		B		C		E		F		Total		I
1. Period Surveyed	3-4/77		3-4/77		3-4/77		4-5/77		3-4/77				1-5/77
2. Type of Cases	SCI		SCI		SCI		applicant		SCI		1,612		applicant
3. Number of Cases	650		416		176		234		136		1,147		classified
4. a. Completely clear	478		293		123		132		113				
b. Clear except for I1 from subject only	49		3		2		42		0		88		
c. Clear except for J1 from subject only	5		2		2		4		1		13		
d. Clear except for other very minor data	2		6		0		2		2		11		
5. Substantially clear	534	82%	304	73%	127	72%	180	77%	116	85%	1,259	78%	33 1%
6. Something significant revealed	116	18%	112	27%	49	28%	54	23%	20	15%	353	22%	66.9%
7. Total denied	32	5%	9	2%	14	8%	2	.8%	1	.7%	58	4%	n.a.
8. a. Denied only for C	12		0		1		0		1		14	.8%	
b. Denied for other reasons	20	3%	9	2%	13	7%	2	.8%	0		44	3%	
9. Resolved in subject's favor	84	13%	103	25%	35	20%	52	22%	19	14%	295	18%	
10. a. Age up to 23	184	28%	72	17%	23	13%	129	55%	18	13%	426	27%	57.4%
b. Age 24 or 25	56	9%	36	9%	20	11%	31	13%	16	12%	159	10%	8.2%
c. Age 26, 27 or 28	57	9%	43	10%	21	12%	16	7%	12	9%	149	9%	7.8%
d. Age 29-32	69	11%	63	15%	22	13%	21	9%	15	11%	190	12%	11%
e. Age 34 +	283	44%	199	48%	89	51%	34	15%	75	55%	680	43%	15.5%
11. Median age	30		32		33		21		33+		30		
12. Total up-dates *	36	6%	184	44%	90	51%	33	14%	73	54%	416	26%	26.6%
13. Up-dates revealing significant data	4		43		16		5		4		72		
14. Line 13 as % of line 12		11%		23%		18%		16%		7%		17%	
15.** a. POC 2-5	199	31%	150	36%	52	30%	149	65%	47	34%	579	37%	
b. POC 6 or 7	64	10%	62	15%	31	18%	25	11%	25	18%	207	13%	
c. POC 8, 9 or 10	60	9%	65	16%	34	19%	14	6%	24	18%	197	12%	
d. POC 11-14	67	10%	43	10%	18	10%	15	7%	14	10%	157	10%	
e. POC 15	259	40%	93	22%	40	23%	20	9%	26	19%	438	27%	

*These were not routine re-investigations. See Tab II-A for details.

**Age groups adjusted to take up-dates into account.

**Percentages of Cases Requiring Different Periods of Coverage
(Left Column: By Age; Right Column: Adjusted For UpDates)**



Tab IV-B

Tab IV-C

Type of Data by Key Source

	Educ	Empl	Res	Pol	Cred	NAC Only	LR	DS	Sub- total	Subj only	Total #	%
A-Subject Cooperation	1	1							2		2	.5
B-Loyalty	1					3			4		4	1
C-Foreign Connections				4		3	1	1	9		9	3
D-Dishonesty	3	16		11		3			33	2	35	10
E-Irresponsibility	5	21	4	6		4			40	2	42	12
F-Immoral Conduct		8	2	1			1	1	13	7	20	6
G-Financial	1	3	8	3	27				42	2	44	12
H-Medical		4	1			1	3	1	10	11	21	6
I-Drugs, Alcohol	3	18	2	45		4	9	4	85	10	95	27
J-Criminal			1	54		8			63	7	70	20
K-Other	2	5	1			2			10	3	13	4
Total #	16	76	19	124	27	28	14	7	311	44	355	
%	5	21	5	35	8	8	4	2	88	12		100

I does not include admissions of drug experimentation if the only source was the subject.

J does not include juvenile data if the only source was the subject. It also does not include data shown as minor traffic offenses, i.e., not involving drinking, accidents, or scofflaw.

C includes only data revealed by an outside source and not by the subject.

NAC only is checked only if the NAC was the only source. For relative productivity of the NAC, see Figures IV-2 and IV-3.

Table IV-D

Actual Years Required to Capture Data (Cases)

																Total
Actual Years Required	16+														17	17
	15														3	3
	14														2	2
	13														4	4
	12														1	1
	11					1					2				5	8
	10								1	1					5	7
	9									1	3			1	4	9
	8				1			2						1	1	5
	7							4	1	1		1	2	1	2	12
	6					2	3	1		1				1	3	11
	5	1	1	4	3	2	4	2	2		2	1	2	1	2	210
	4	5	2	1	5	1	3	2		3	1	1	2	2	3	
	3	8	6	3	5	5	2	1	2		1		2	2	6	
	2	12	2		3	8	4	1	2	1	1				5	
1	23	3	6	4	2	7	2	4	2	4	4	2		8		
POC		2	3	4	5	6	7	8	9	10	11	12	13	14	15	
Total		49	14	14	21	21	23	15	12	10	12	9	10	9	71	289
Percent		17	5	5	7	7	8	5	4	3	4	3	3	3	25	100

Tab IV-E

**Actual Years Required to Capture Data
(Percentages of Cases)**

																Total %	
Actual Years Required	16+														100	100	
	15														76	94	
	14														72	93	
	13														69	92	
	12														63	91	
	11					100						100			62	91	
	10								100	100					55	88	
	9									90	100			100	48	85	
	8				100			100							89	42	82
	7							87	92	80		78	100	78	41	81	
	6					95	100	60		70				67	38	76	
	5	100	100	100	95	86	87	53	83		75	67	80	56	34	73	
	4	98	93	71	81	76	70	40		60	58	56	60	44	31		
	3	88	79	64	57	71	57	27	67		50		40	22	27		
	2	71	36		33	48	48	20	50	30	38				18		
1	47	21	43	19	10	30	13	33	20	33	44	20		11			
POC		2	3	4	5	6	7	8	9	10	11	12	13	14	15		

Tab IV-F

Actual Years Required to Capture Denial Data
(Cases)

																No.	%
Actual Years Required	16+																
	15																
	14																
	13																
	12																
	11																
	10														1	1	100
	9									1						1	
	8																
	7							1								1	95
	6																
	5			1			2		1		1					5	93
	4	3	1				1	1		2					1	9	
	3	2	2		1	1								1		7	
	2	4			1	2	1			1						9	
1	2		1			1		1						2	7		
POC		2	3	4	5	6	7	8	9	10	11	12	13	14	15		
Total		11	3	2	2	3	5	2	2	4	1			1	4	40	

Tab IV-G

Actual Years Required to Capture Denial Data
(Cases)

																No.	%	
Actual Years Required	16+																	
	15																	
	14																	
	13																	
	12																	
	11																	
	10															1	1	100
	9										1						1	
	8																	
	7																1	95
	6																	
	5			1			2		1		1						5	93
	4	3	1				1	1		2					1	9		
	3	2	2		1	1								1		7		
	2	4			1	2	1			1						9		
	1	2		1			1		1						2	7		
POC		2	3	4	5	6	7	8	9	10	11	12	13	14	15			
Total		11	3	2	2	3	5	2	2	4	1			1	4	40		

— This line represents the actual capture of 95% of the significant data. See Tab IV-E.

Section V

Conclusions

A. Some sources and investigative techniques appear to be more productive than others:

1. The personal interview of the subject is a useful procedure and should be included as part of any background investigation. It is not so effective, however, as to warrant its use in place of field investigation. How much and what type of field investigation is necessary to complement or to maintain the integrity of the personal interview should be the subject of further study.

2. The NAC is a productive source of relevant information and should be retained as part of the background investigation. Its productivity, compared either to the local police check or to the rest of the background investigation, does not appear to warrant relying on it alone for granting access to the more sensitive information.

3. Other sources, such as the neighborhood check or the education check, may be more productive under certain circumstances, which were not examined in this study, but, as far as the current study is concerned, these sources were essentially duplicative of the basic combination of NAC-personal interview-police-credit-employment check, which accounted for 93% of the significant data and 100% of the denial data in the study.

B. For the cases involved in the current study, a reduced period of coverage would have risked losing substantial amounts of significant data. Anything below 10 years would have risked losing denial data.

C. Before any conclusions may be drawn validly from this study, it will be necessary (1) to broaden the analysis to provide a statistically sounder data base, and (2) to determine the extent to which certain sources or certain patterns of coverage may be necessary for other purposes than the mere acquisition of adverse data.

Recommendations

A. Maintain the investigative standards of DCID-1/14 as they are. Review them again in a year, after a more comprehensive data base has been established along the lines of this pilot program.

B. Adopt the techniques of this pilot study on a permanent basis for all agencies.

C. Consider a pilot project to examine the adjudication process, including such factors as the significance of various types of data; the significance of the passage of time since an incident; the countervailing effect of other, more positive data to offset adverse data; the compounding effect of multiple data in the same case; and the significance of the type or level of access or position sought. These matters seem ideally suited to Bayesian analysis.

D. Consider realistic alternatives to investigative techniques or standards, especially those involving high cost, with the objective of testing such techniques.

APPENDIX B

INSTRUCTIONS FOR CURRENT SURVEY

August 16, 1978

MEMORANDUM

STAT TO : Members, Investigative Standards Working Group
FROM : [] Chairman
SUBJECT: Validation Study

Under separate cover I am sending you two boxes of the IBM cards printed for Phase II of our validation study. As agreed, we would like to cover the period October 1 through November 30, 1978.

STAT Attached is a revised copy of our instructions for completion of the card. I suggest that the first batch of completed cards be submitted as of October 15 to let us see what problems may be developing. If there are any questions, please feel free to call me at []

Attachment:

Instructions

Investigative Standards Working Group

Directions

Background Investigation Validation Project — Phase II

Objectives

A. To determine whether certain types of sources are more productive than others.

B. To determine whether certain sources or groups of sources consistently duplicate information available elsewhere.

C. To determine how far back in time it is necessary to investigate in order to have a reasonable probability of acquiring at least some indication of the existence of significant information. It is recognized that, once possibly significant information is revealed, the inquiry must be sufficiently broadened in terms of period of coverage and numbers and types of sources contacted to resolve or clarify the matter. The present study seeks to determine what minimum period of coverage for each type of source experience suggests is necessary in order to acquire that first indication of a problem.

1. Complete a card for each case adjudicated, based on investigation completed within the past year, whether or not significant adverse information was revealed. Do not complete a card on a case in which the current investigation was prompted by a complaint or allegation, nor on a routine "up-date" or "bring-up" case.

2. Use a No. 2 pencil to darken the appropriate spaces on the face of the card. Erasures are permitted but should be clean.

3. Specific guidance:

Case No.: Write in the case number according to your own system. Do not use an identifiable number, such as a Social Security number, but rather some random number from a key list, by which the true identity of the case can be traced if necessary.

Agency: For the purpose of this project, each participating agency will be assigned a specific letter identification, which should be used for all cards submitted by that agency.

Year of Birth: Mark the last two digits of the year in which the subject was born.

CASE NO.		PREVIOUS INVESTIGATION		THIS INVESTIGATION		ADJUDICATION		FACTOR 1		FACTOR 2		FACTOR 3		FACTOR 4						
AGENCY	YEAR OF BIRTH	ENACTYPE	YEAR	YEAR	PURPOSE	SOURCES	ADJUDICATION	CATEGORY	SUB-CATEGORY	YEARS AGO	SUBJECT	NAC	SOURCES	CATEGORY	SUB-CATEGORY	YEARS AGO	SUBJECT	NAC	SOURCES	
A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
B	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1
C	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2
D	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3
E	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4
F	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5
G	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6
H	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7
I	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8
J	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9	9

Previous Investigation: Complete these columns only if the subject of the present investigation was also the subject of a prior inquiry.

If there was a significant earlier inquiry, identify:

Type:

ENAC: the abbreviated NAC customarily done on military enlistees;

NAC: Self-explanatory;

NACI: Self-explanatory;

BI: background investigation with a 5 or 7 year period of coverage;

SBI: background investigation meeting or exceeding DCID-1/14 standards.

If there was more than one previous inquiry, indicate only the most extensive.

Year: Last two digits of the year the previous inquiry was completed.

This Investigation:

Year: Last two digits of the year the current investigation was completed.

Purpose: Identify the intended purpose of the current adjudication.

POC: Identify the *intended* period of coverage of the current investigation, taking into consideration the pertinent regulations and the age of the subject. Round out to the next higher block available in the column. E.g., if the subject is 24 years old and DCID-1/14 standards are being used, the intended POC would be 6 years, which should be shown by marking the "7" block.

Sources: Use the next two columns to identify the types of sources actually used in the current investigation.

The first column will indicate the nature of any *pre-investigative* personal interview with the subject. Mark only the most comprehensive of the three options. The *purpose of this column is to permit analysis of the skewing effect such preliminary screening procedures may have on the final investigative results.* Do not count an interview or confrontation which might have been required to resolve discrepant or adverse information disclosed in the investigation. *Administrative screening* refers to the non-investigative interview which DOD requires before an employee is proposed for SCI clearance. *Investigative interview* means a pre-investigative personal interview conducted by a trained investigator. *Polygraph* is self-explanatory and assumes that an investigative interview was part of the process.

In the next column, indicate all types of source actually checked during the course of the current investigation:

Educational records

Educational personal sources (persons having knowledge of the subject)

Employment records

Employment personal sources

Residence or neighborhood sources, whether records or persons

Listed References

Developed sources, not falling into any of the foregoing categories

Police

Credit

More than one block in this column will ordinarily be marked.

Adjudication: If the level of clearance or access shown in the "Purpose" column was granted, mark the "granted" block. If that clearance or access was denied, mark the "denied" block. For this purpose do not consider possible appeals or reversals. If the adjudication decision is to deny, and if the data can be acquired without unnecessarily delaying submission of the card, also mark the most appropriate of the following three blocks.

Not Hired will signify that the subject either was not hired due to the adverse decision or that, if already employed, he or she was separated due to the decision. If the individual was found to be eligible for the clearance sought but was denied employment on suitability grounds, check the "granted" and "not hired" blocks.

Retained will signify that, even though the clearance or access sought was not granted, the subject nevertheless was allowed to remain in service, presumably with a lower level of clearance. A common situation might be denial of SCI clearance due to an alien spouse, where the individual is allowed to retain, say, a Secret clearance.

Status Unknown will signify that the particular clearance sought was denied but that the denying official does not know what effect the investigation may have had or will have on the subject's employment status.

For those cases which revealed no significant or adverse information, nothing further need be completed on the card.

Significant Data

Should the investigation have revealed significant or adverse information, however, even though clearance might have been granted, the adjudicator is asked to review the entire case, to consider the various kinds of information revealed, to evaluate the order of gravity of the data, and to answer certain questions regarding each factor or category of the data. Note that space allows comment only up to four factors, the presumption being that in any given case, four different types of adverse data probably will be more than sufficient for a decision.

TYPES OF INFORMATION

A. SUBJECT COOPERATION:

1. refusal to furnish information
2. refusal to give release
3. falsification in papers or interview
4. false identity

B. LOYALTY:

1. treason
2. espionage
3. sabotage
4. subversion
5. disaffection
6. conflict of security interest

C. FOREIGN CONNECTIONS:

1. subject not US citizen
2. spouse not citizen
3. relatives potential "hostage"
4. alien relatives, "hostage" unlikely
5. life abroad cannot be verified

D. DISHONESTY:

1. criminal: theft, burglary, forgery, fraud, perjury, etc.
2. non criminal: lying, cheating, plagiarism, etc.

E. IRRESPONSIBILITY:

1. violation of security regulations
2. insubordination, misfeasance
3. draft evasion, desertion
4. poor judgement
5. indiscreet
6. scofflaw

F. IMMORAL CONDUCT:

1. homosexual conduct
2. other perverted conduct
3. heterosexual misconduct

G. FINANCIAL:

1. excessive indebtedness
2. irresponsibility, refusal to pay debts
3. living beyond means, unexplained affluence
4. excessive or compulsive gambling
5. business bankruptcy
6. personal bankruptcy

H. MEDICAL:

1. mental illness or impairment
2. emotional instability
3. inability to cope with stress

I. DRUGS OR ALCOHOL:

1. drug experimentation
2. drug abuse, rehabilitated
3. current marijuana use
4. current abuse of other drugs
5. alcohol abuse
6. drug trafficking

J. CRIMINAL: (other than above)

1. juvenile
2. adult: only minor traffic violations
3. adult misdemeanor
4. adult felony

K. OTHER: (explain)

* Criminal offense (s):

The *Types of Information* shown on the reverse of the card identify some categories (lettered) and sub-categories (Numbered) of information which commonly are found to be relevant in the adjudication process. Note that they are not mutually exclusive. Forgery, for example, is criminal and could probably be said to be irresponsibly poor judgment, but for purposes of this study it is placed under "D—DIS-HONESTY." Similarly, any of the drug related activities could be placed under "E—IRRESPONSIBILITY" or "H—MEDICAL" or possibly "J—CRIMINAL," but for purposes of this study they are grouped into a single category. The adjudicator is asked to select the most appropriate category and sub-category of data which describe the most serious factor in his or her evaluation of the case, even though the clearance might have been granted, and to identify that element under "FACTOR 1." The "J—CRIMINAL" category should be used only when none of the previous categories is appropriate, and the nature of the criminal offense, if known, should be written out at the bottom of the card. If none of the listed categories seems appropriate, the adjudicator is asked to use "K—OTHER" and to explain briefly at the bottom of the card.

Taking each factor in order of gravity, the adjudicator is asked to identify it by category and sub-category, and to provide the following additional information:

Years Ago: If the factor refers to a specific incident or series of similar incidents, cite how long ago the latest such incident occurred, rounding out to the highest appropriate block. If the factor relates to a situation or trait, cite the fewest number of years back the investigation had to go to discover the situation or trait. If it is current, mark the "1" block, to signify that a one-year period of coverage would have captured the data.

Subject: Referring only to the information given by the subject in the case papers or in a pre-investigative interview (as distinguished from a post-investigative confrontation), indicate whether the subject offered in substantial part the data considered as Factor 1, whether he or she can be considered to have falsified or withheld the information, or whether he or she was not asked or can be considered not to have been obliged to volunteer the information.

NAC: Cite each element of the National Agency Check which revealed the information of Factor 1. More than one block of this column may be marked. If the data came up only in a previous investigation and not the current one, cite it in this NAC column in the most appropriate block.

Sources: Mark appropriate blocks to identify all other sources which revealed the information of Factor 1. More than one block of this column may be marked.

The process should be repeated for the second most significant factor in the adjudicator's assessment, then the third and, if necessary, the fourth.

APPENDIX C

TABLES AND CHARTS

Appendix C

Tables and Charts

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Figure C-1

Age Group Frequency by Agency

Year of Birth When Investigated (Age in Paren)	Period of Coverage (Yrs)	Agency										Totals
		1	2	3	4	5	6	8	9	11	12	
1958 (20) or later	1-2	132	306	6	50	11	29	47	58	—	43	682
1957 (21)	3	12	25	9	23	2	7	19	14	—	12	123
1956 (22)	4	11	30	16	54	10	24	12	26	1	28	212
1955 (23)	5	18	42	15	42	12	24	22	30	3	38	246
1954 (24)	6	10	42	17	33	13	25	24	34	3	63	264
1953 (25)	7	5	27	23	39	5	23	20	26	5	49	222
1952 (26)	8	10	29	16	38	5	19	15	19	21	57	229
1951 (27)	9	4	30	19	35	8	17	17	16	10	61	217
1950 (28)	10	8	34	15	38	13	16	25	26	20	55	250
1949 (29)	11	4	30	16	28	7	16	21	17	11	47	197
1948 (30)	12	9	33	14	35	3	12	8	18	17	57	206
1947 (31)	13	8	35	11	31	8	18	14	19	12	44	200
1946 (32)	14	7	24	18	28	2	9	12	8	12	43	163
1945 (33) or earlier	15+	63	270	265	522	44	219	90	193	21	273	1,960
Totals	---	301	957	460	1,014	155	458	346	507	136	870	5,204*

*Total includes 33 cases for which year of birth was not shown.

Frequency of Ages for Agency 1

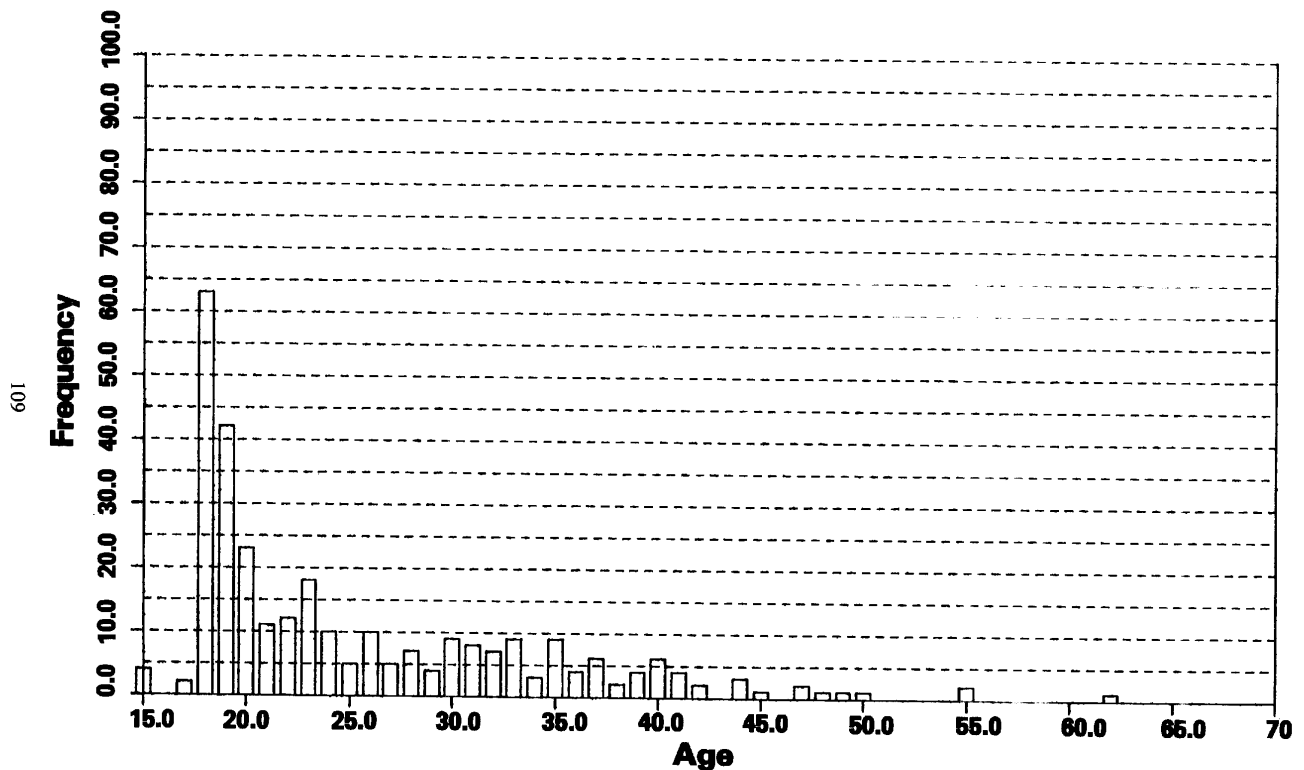
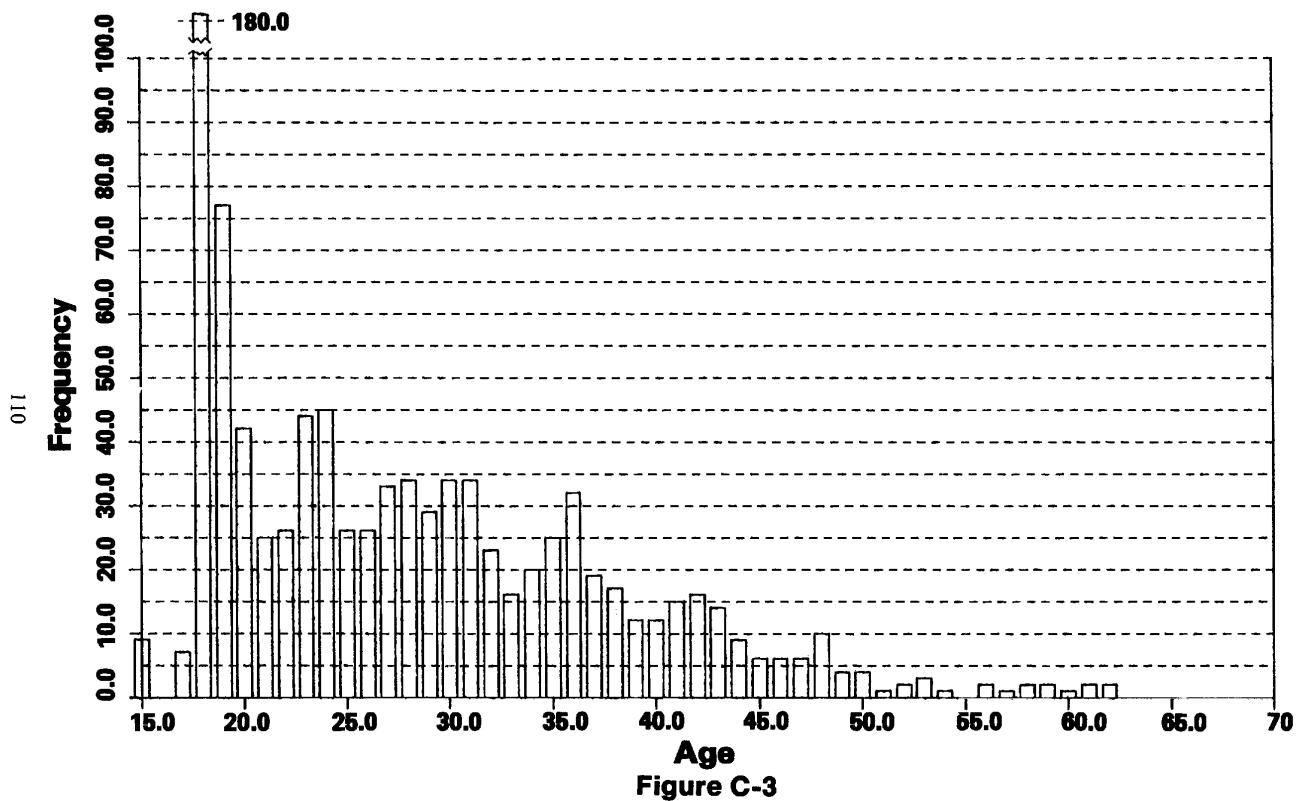
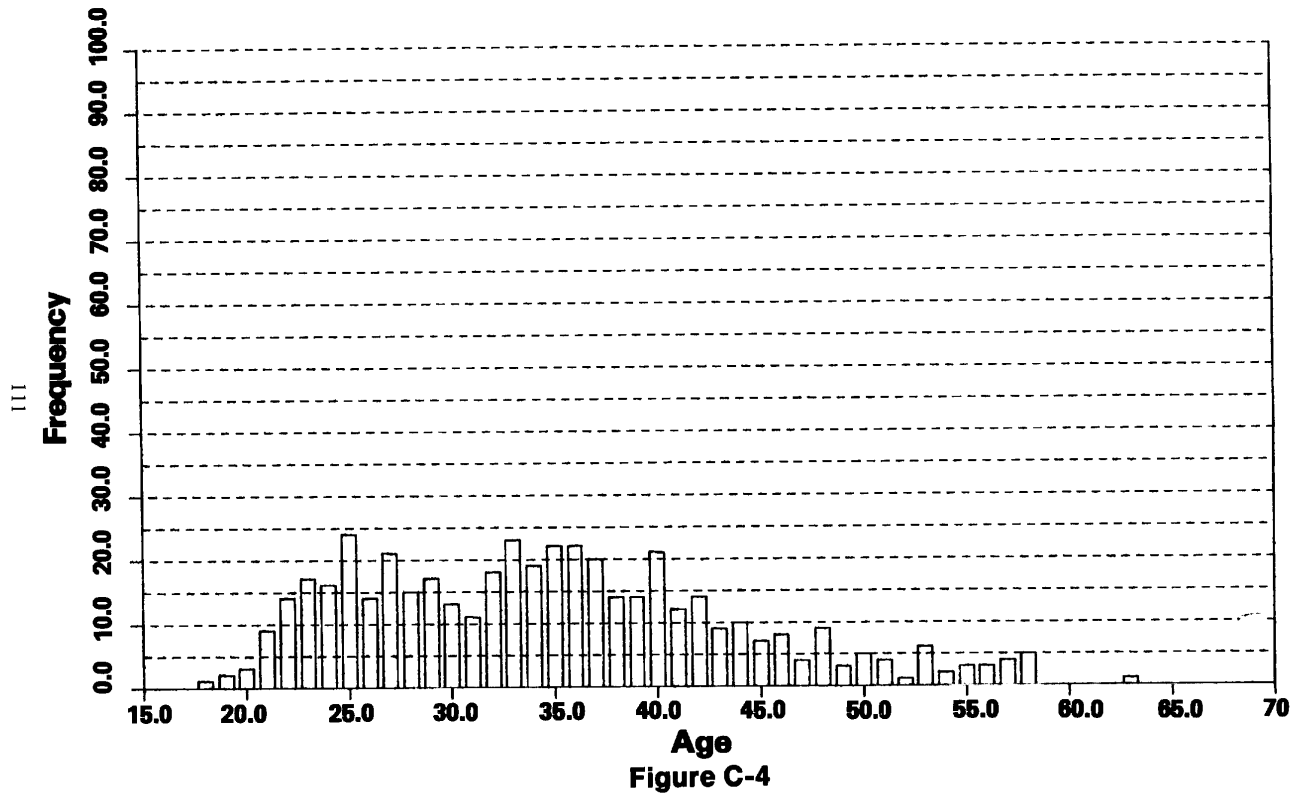


Figure C-2

Frequency of Ages for Agency 2

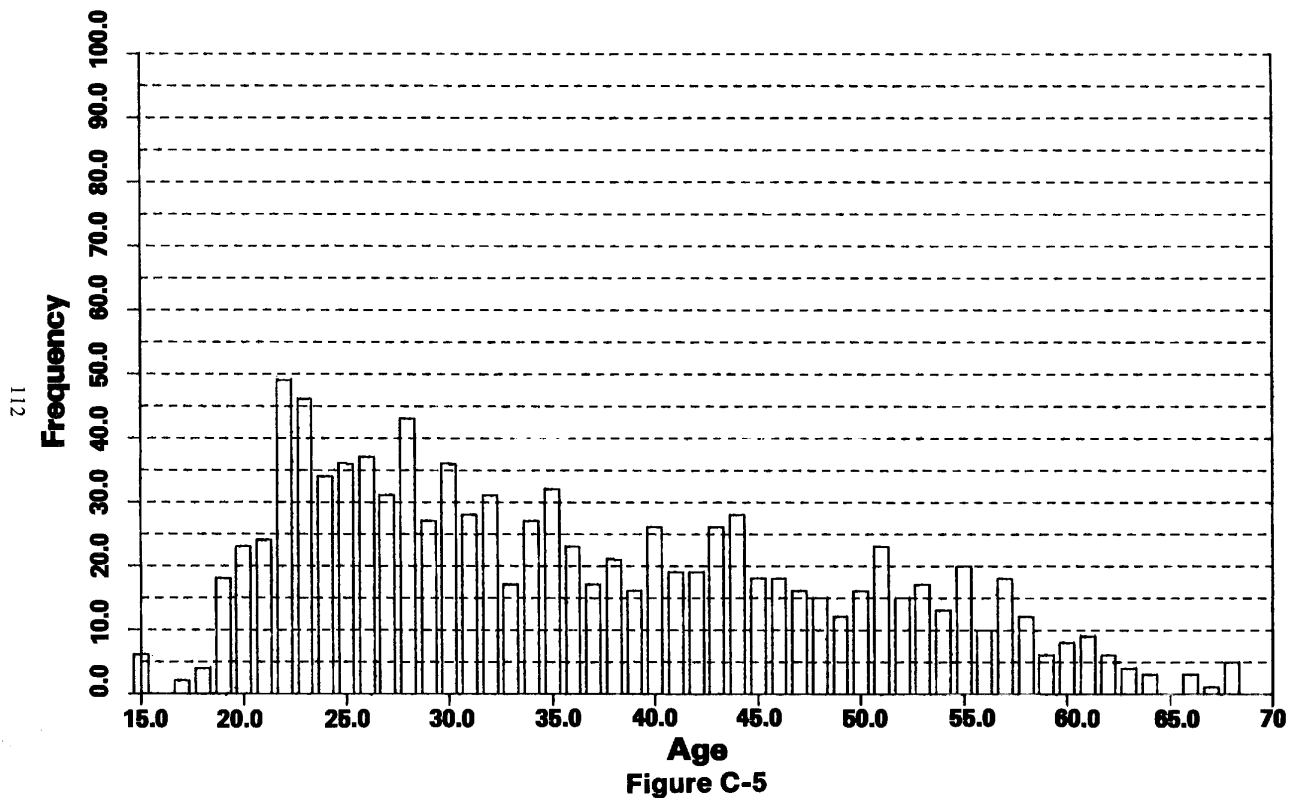


Frequency of Ages for Agency 3

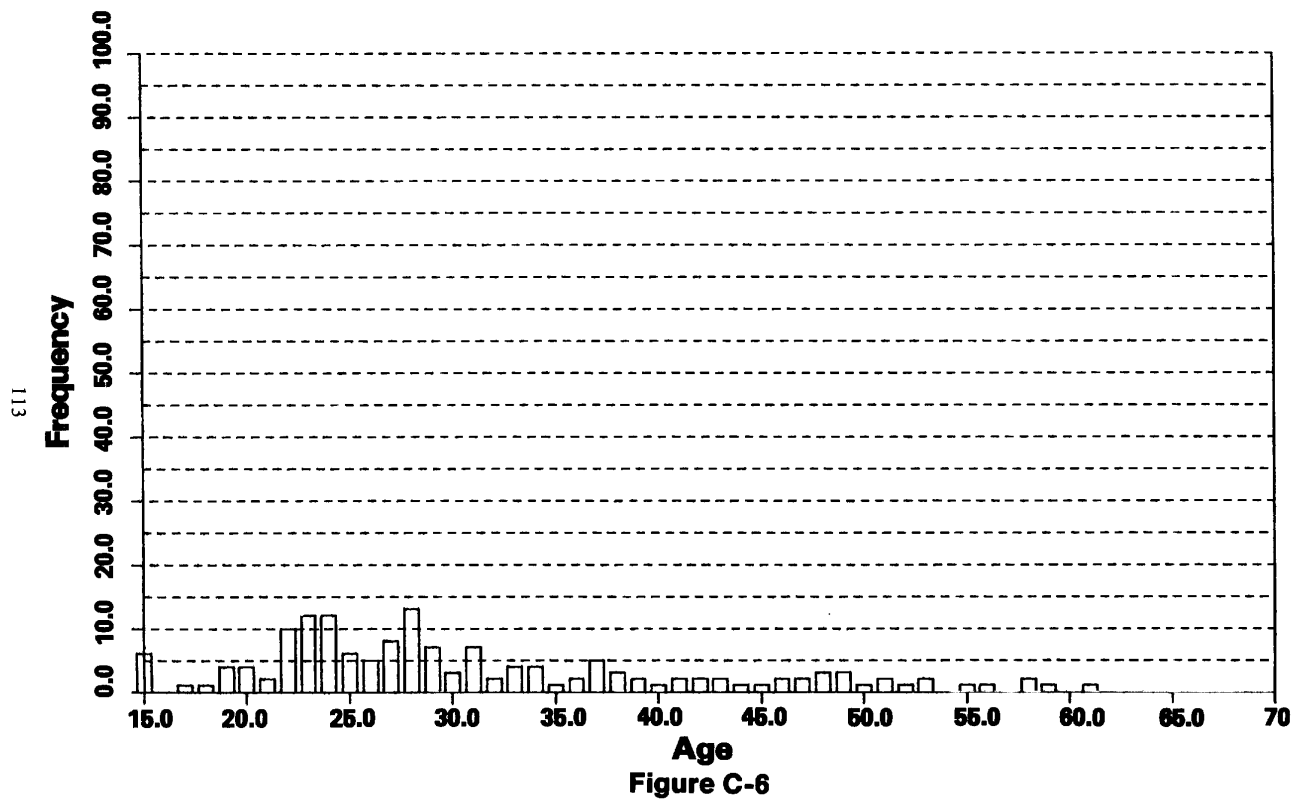


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Frequency of Ages for Agency 4

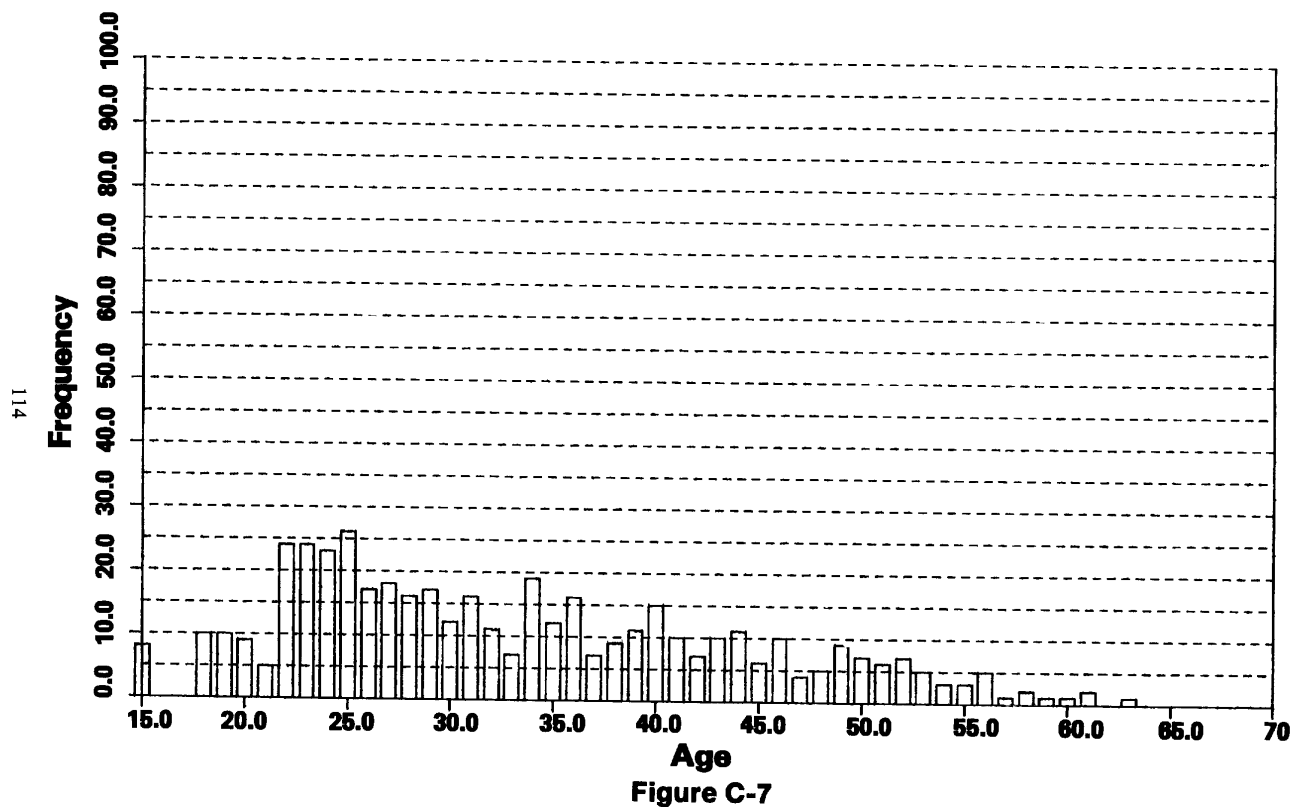


Frequency of Ages for Agency 5

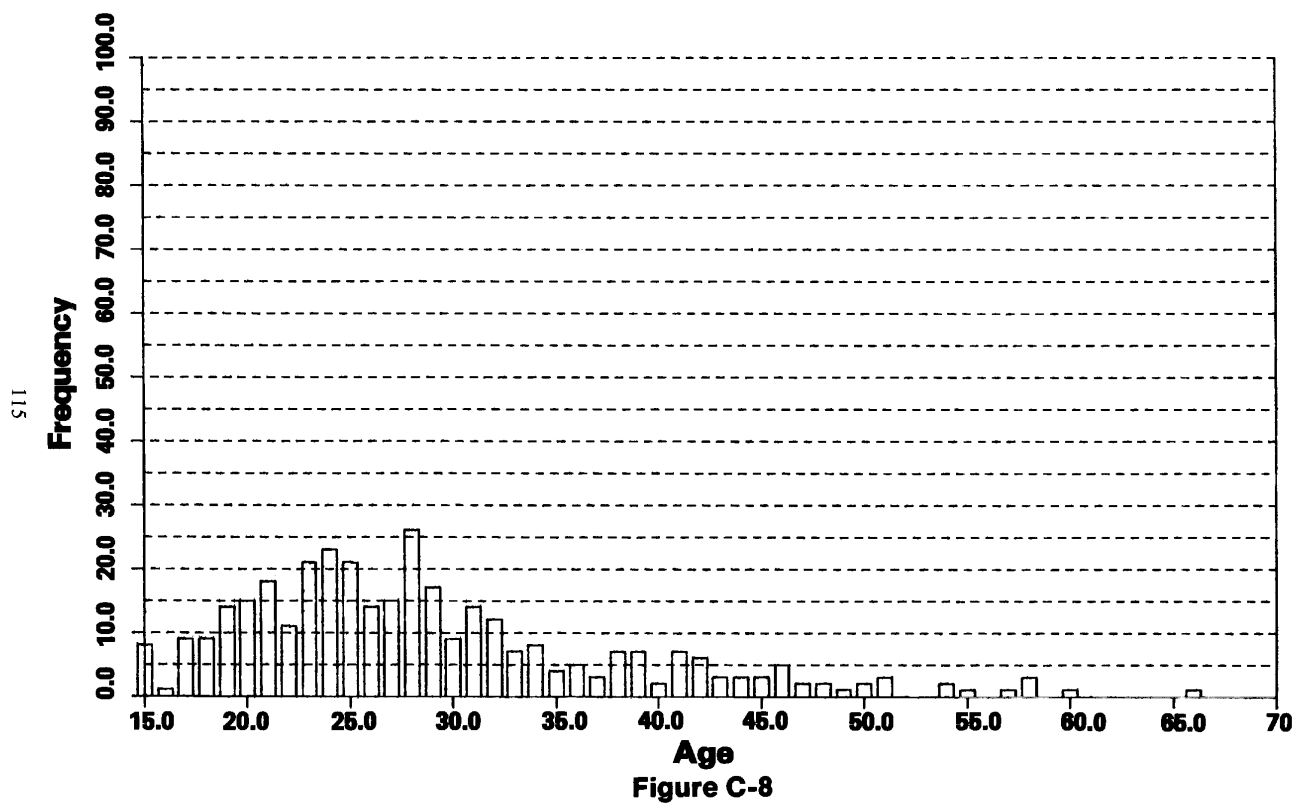


Approved For Release 2005/12/14 : CIA-RDP96M01138R001200020003-2

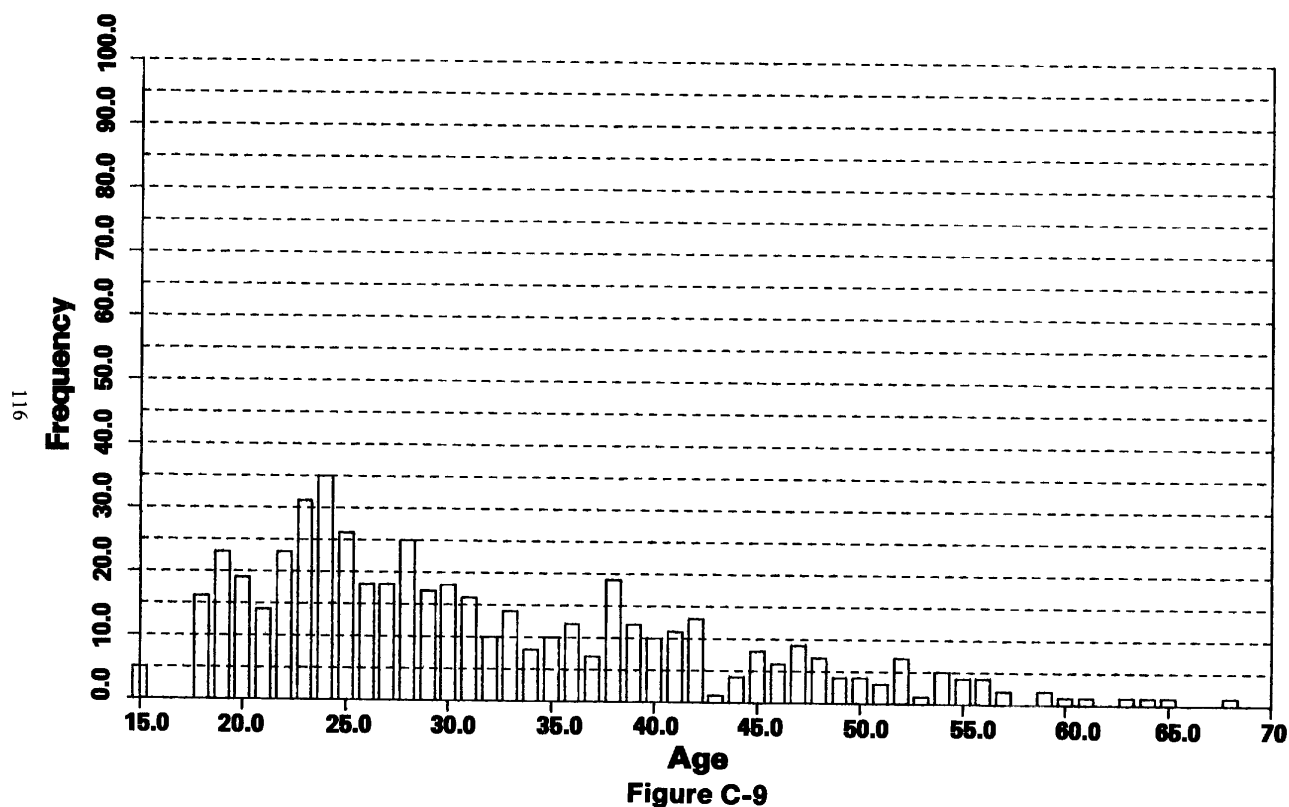
Frequency of Ages for Agency 6



Frequency of Ages for Agency 8



Frequency of Ages for Agency 9



Frequency of Ages for Agency 11

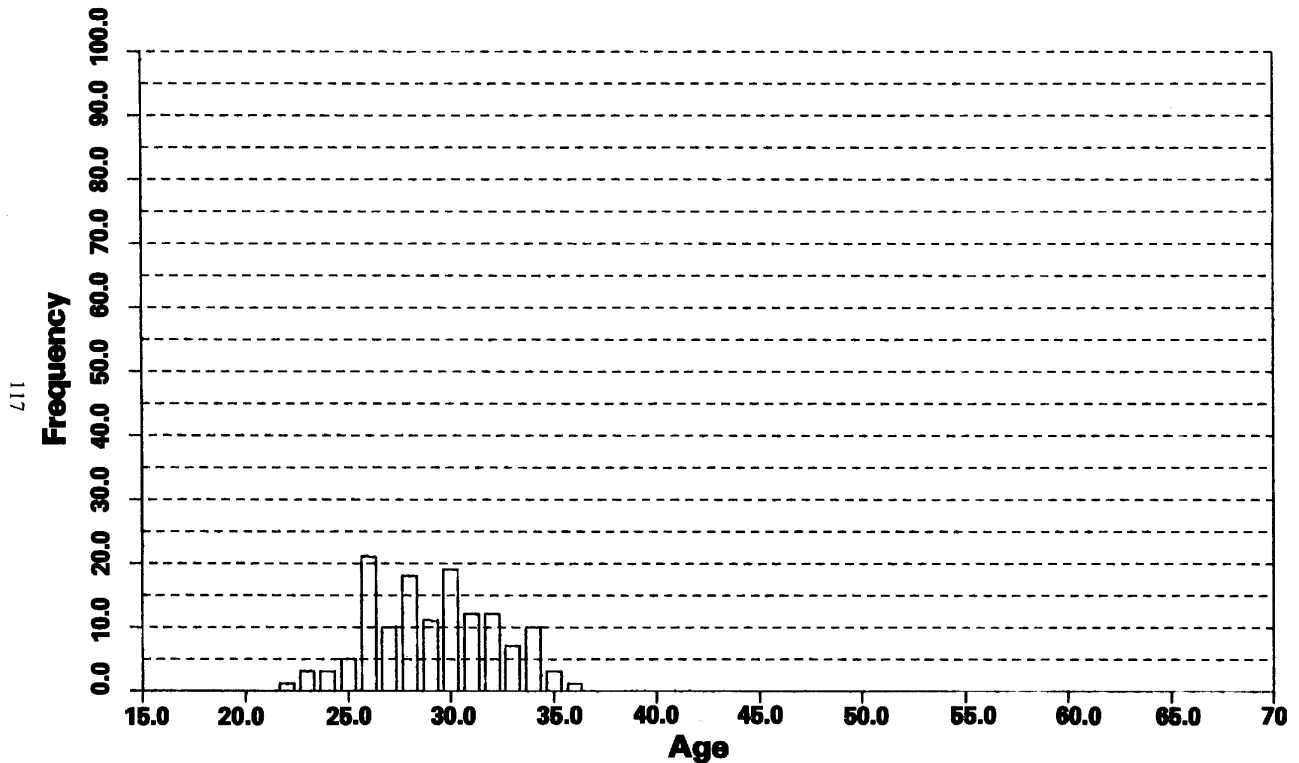


Figure C-10

Frequency of Ages for Agency 12

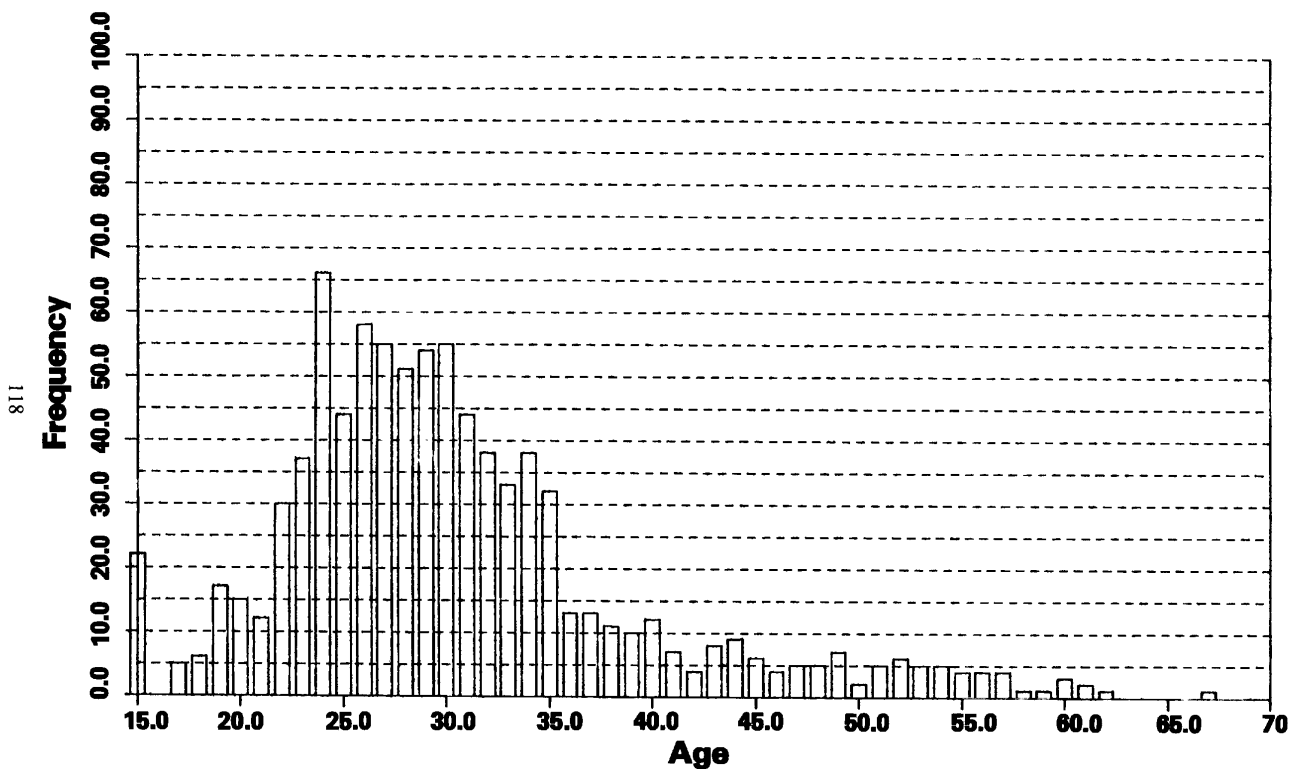


Figure C-11

Figure C-12

Job Status

Adjudications	Not Shown	Not Hired	Retained	Status Unknown
Not Shown	135	51	123	33
Clearance or Access	4651	11	4	2
Clearance or Access Denied	139	44	2	7

(Figures inside the box represent data resolved against the individual)

Figure C-12

Job Status

Adjudications	Not Shown	Not Hired	Retained	Status Unknown
Not Shown	135	51	123	33
Clearance or Access	4651	11	4	2
Clearance or Access Denied	139	44	2	7

(Figures inside the box represent data resolved against the individual)

Figure C-13

Category K Descriptions

Agency	Factor 1	Factor 2	Factor 3	Adjudication
2	Assault and Battery	Draft Evasion		Granted
2	Marijuana Possession			Granted
2	Traffic Violations			Granted
2	Marital			Granted
2	Juvenile Record	Financial Irresponsibility	Usable to verify subject's denial of all derogatory record information	Denied
3	Previous membership in leftist organization 15 years ago			Granted
3	Leaving scene of accident and DWI			Granted
3	DWI			Granted
3	Drug Experimentation	Suspected child abuse two years ago		Denied
3	LSD used once			Denied
3	Four drunk-related incidents in past 16 years			Granted
3	Past arrest not on SPH			Denied
3	Immaturity, unreliability	Criminal Dishonesty		Denied
3	Drunk			Granted
3	Accidental Shooting	Emotional Instability		Denied
3	LSD twice in 1970			Denied
4	INS deportation 21 years ago			Granted
4	Alien status with US citizenship three years ago			Granted
4	Pituitary gland causes stress problem			Granted
6	Bad check, 1962			Granted
6	Abortion, 1975			Granted
6	Loose morals			Granted
6	Juvenile Record	AWOL		Granted
6	Minor credit derog			Granted
6	Brief treatment for depression			Granted
8	Questionable business practice and conflict of interest			Not Hired
8	Tax deficiency			Retained
8	Tax problems			Retained
8	Tax problems			Retained
9	Criminal Dishonesty	Work Habits	Poor Judgment	Granted
9	Suitability			Denied
9	Criminal Dishonesty	Inability to cope with stress	Poor Work Habits	Granted
9	Conscientious objector, religion			Granted
9	Drug abuse, rehabilitated	Foreign travel		Granted
9	Foreign relative, cousin in Germany			Not Shown
11	Medical disqualification, hearing			Granted/Not Hired
11	Vision disqualification			Granted/Not Hired
11	Medical, asthma	Falsification		Granted/Not Hired
11	Adult misdemeanor	Difficulty with English language		Denied
11	Medical disqualification, asthma			Granted/Not Hired
11	Medical, diabetes			Granted/Not Hired
11	Hearing			Granted/Not Hired
11	Timid, shy personality			Denied
11	Poor judgment	Physically disqualified from USMC		Denied
11	Lack of ability in his field, accounting			Denied
11	Vision			Granted/Not Hired
11	Vision/Hearing			Granted/Not Hired
11	Overage			Granted/Not Hired

Figure C-14

Productivity Indices: By Purpose of Investigation

	Not Shown	SCI	TS	Q	Crypto	Other	Totals
Omitting CIA Polygraph Cases							
No. of Cases	75	2,213	514	1,004	29	1,042	4,877
Pct. of Total (4,877)	1.538%	45.376%	10.539%	20.586%	0.595%	21.366%	
No. of Adverse Cases	17	478	126	242	—	199	1,062
Pct. of Total Adverse (1,062)	1.601%	45.009%	11.864%	22.787%	—	18.738%	
Index *	1.04	.99	1.13	1.11	—	.88	
No. of "Resolved Against" Cases	5	94	63	4	—	18	184
Pct. of Total "Resolved Against"	2.717%	51.087%	34.239%	2.174%	—	9.783%	
Index **	1.77	1.13	3.25	.11	—	.46	
Omitting CIA Polygraph Cases and FBI Cases							
No. of Cases	75	2,213	378	1,004	29	1,042	4,741
Pct. of Total (4,741)	1.582%	46.678%	7.973%	21.177%	0.612%	21.978%	
No. of Adverse Cases	17	478	74	242	—	199	1,010
Pct. of Total Adverse (1,010)	1.683%	47.327%	7.327%	23.960%	—	19.703%	
Index *	1.06	1.01	.92	1.13	—	.90	
No. of "Resolved Against" Cases	5	94	11	4	—	18	132
Pct. of Total "Resolved Against"	3.788%	71.212%	8.333%	3.030%	—	13.636%	
Index **	2.39	1.53	1.05	.14	—	.62	

Note:

* Derived from dividing percentage of total adverse cases by percentage of total cases in column.

** Derived from dividing percentage of total "Resolved Against" cases by percentage of total cases in column.

Figure C-15

General Data Grouped by Investigative Agency

	No. of Cases	Percent of Total (5,204)	No. of Adverse Cases	Percent of Total Adverse (1,261)	Index *	No. of Resolved Against Cases	Percent of Total Resolved Against (254)	Index **
Defensive Investigative Service	2,176 ***	41.814	484	38.382	.92	95	37.402	.89
Office of Personnel Management	1,884	36.203	280	22.205	.61	4	1.575	.04
State	155	2.978	37	2.934	.99	0	—	—
FBI	136	2.613	52	4.124	1.58	52	20.472	7.83
Treasury	346	6.649	172	13.640	2.05	20	7.874	1.18
CIA (Non-Polygraph)	180	3.459	37	2.934	.85	13	5.118	1.48
Sub-Totals	4,877	93.716	1,062	84.219	.94	184	72.441	.77
CIA (With Polygraph)	327	6.284	199	15.781	2.51	70	27.559	4.39
Totals	5,204		1,261			254		

Note: Indices derived from

* Dividing percentage of total adverse cases by percentage of total cases.

** Dividing percentage of total "Resolved Against" cases by percentage of total cases.

*** 2,107 of these cases were Special Background Investigations.

Figure C-16

Adverse Data (1,261 Cases)
No Previous Investigations
(Years Required to Capture Data)

													Total	Pct	Cum Pct
Years Ago Maximum	NS	8	2	2	5	2	12	17	8	20	1		77	10	100
	21 +	1					12		4	4		1	22	3	90
	20						6		2				8	1	88
	15	1					6	2	5	4	2		20	3	87
	10	2					28	3	23	12	1	1	70	9	84
	7	4	1		1		15	6	24	16	2		69	9	75
	5	1		1	3		30	7	9	9	2	3	65	8	66
	4	2	1	3	2	2	21	5	11	7	1	1	56	7	58
	3	2	1	4	6	5	30	11	15	8	2		84	11	51
	2	5	6	5	6	5	42	17	16	15			117	15	40
	1	8	11	9	11	7	61	30	36	25		1	199	25	25
TGT POC		NS	1	2	3	4	5	7	10	15	20	21 +			
Total		34	22	24	34	21	263	98	153	120	11	7	787		

Figure C-17

Resolved Against Data (254 Cases)
No Previous Investigations
(Years Required to Capture Data)

												Total	Cum Pct.
Years Ago Maximum	NS	3		1	3			3		5	1	16	
	21 +												
	20												
	15									1	2	3	100
	10	2						1	6	3	1	13	98
	7				1		1	3	5	5	2	17	89
	5				1			1	5	5	1	13	78
	4	1		2	2		3	4	4	2	1	19	70
	3			2	2	2	1	1	5	5	1	19	57
	2	4			3	1		4	1	7		20	45
	1	2	2	4	6	1	5	6	11	11		48	32
TGT POC		NS	1	2	3	4	5	7	10	15	20	21 +	
Total		12	2	9	18	4	10	23	37	44	9	168	

Figure C-18

**Productivity Indices According to Target Period of Coverage
(Excluding Agency 12)**

Period of Coverage in Years	Not Shown	1	2	3	4	5	7	10	15	20	21 +	Total
Number of Cases	176	214	235	141	134	1,305	452	599	911	95	72	4,334
Percent of Total (4,334)	4.061	4.938	5.422	3.253	3.092	30.111	10.429	13.821	21.020	2.192	1.661	
Number of Adverse Cases	44	50	56	67	40	304	143	249	230	24	17	1,224
Percent of Total Adverse Cases (1,224)	3.595	4.085	4.575	5.474	3.268	24.837	11.683	20.343	18.791	1.961	1.389	
Index *	.89	.83	.84	1.68	1.06	.82	1.12	1.47	.89	.89	.84	

* Indices derived from dividing Percent of Adverse by Percent of Total.

Figure C-19

Frequency of Sources Checked by Target Period of Coverage

Period of Coverage in Years	1	2	3	4	5	7	10	15	20	21 +	Sub- Total	Not Shown	Frequency
Source													
Educational Records	193	210	117	105	1,164	466	528	734	84	57	3,658	143	3,801
Educational Personal Interviews	164	171	82	79	910	349	286	296	45	19	2,401	105	2,506
Employment Records	175	190	122	117	1,856	488	592	824	91	69	4,524	166	4,690
Employment Personal Interviews	171	188	126	123	1,874	511	542	854	96	70	4,555	169	4,724
Residence	199	218	129	127	1,887	533	614	904	96	75	4,782	181	4,963
Listed References	90	115	90	84	1,292	434	513	620	76	47	3,361	136	3,497
Developed Sources	193	220	127	118	355	422	557	853	90	72	3,007	119	3,126
Police	199	226	132	135	1,903	538	646	906	98	75	4,858	180	5,038
Credit	192	201	94	117	1,061	484	575	805	96	76	3,701	124	3,825

Figure C-20

**Percentage of Cases in Which Cited Source Was Checked—
By Target Period of Coverage**

Period of Coverage	1	2	3	4	5	7	10	15	20	21 +	Total
Source											
Educational Records	5.078*	5.525	3.078	2.762	30.624	12.260	13.891	19.311	2.210	1.500	
	12.246	12.076	11.482	10.448	9.462	11.030	10.880	10.800	10.881	10.179	10.497
Educational Personal Interviews	6.544	6.824	3.272	3.152	36.313	13.927	11.413	11.812	1.796	.758	
	10.406	9.833	8.047	7.861	7.397	8.260	5.893	4.356	5.829	3.393	6.890
Employment Records	3.731	4.051	2.601	2.495	39.574	10.405	12.623	17.569	1.940	1.471	
	11.104	10.926	11.972	11.642	15.087	11.550	12.199	12.125	11.788	12.321	12.982
Employment Personal Interviews	3.620	3.980	2.667	2.604	39.670	10.817	11.473	18.078	2.032	1.482	
	10.850	10.811	12.365	12.239	15.233	12.095	11.168	12.566	12.435	12.500	13.071
Residence	4.010	4.393	2.599	2.559	38.021	10.739	12.372	18.215	1.934	1.511	
	12.627	12.536	12.659	12.637	15.339	12.615	12.652	13.302	12.435	13.393	13.723
Listed References	2.574	3.289	2.745	2.402	36.946	12.411	14.670	17.729	2.173	1.344	
	5.711	6.613	8.832	8.358	10.502	10.272	10.571	9.123	9.845	8.393	9.645
Developed Sources	6.174	7.038	4.063	3.775	11.356	13.500	17.818	27.287	2.879	2.303	
	12.246	12.651	12.463	11.741	2.886	9.988	11.477	12.552	11.658	12.857	8.629
Police	3.950	4.486	2.620	2.680	37.773	10.679	12.823	17.983	1.945	1.489	
	12.627	12.996	12.954	14.433	15.469	12.734	13.311	13.331	12.694	13.393	13.941
Credit	5.020	5.255	2.458	3.059	27.739	12.654	15.033	21.046	2.510	1.987	
	12.183	11.558	9.225	11.642	8.265	11.456	11.848	11.845	12.435	13.571	10.621

* Top figure is percent for the row; lower is percent for the column
(Data in Appendix C-19)

Figure C-21

Productivity Indices by Target Period of Coverage **

Years Ago	N.S.	1-5	7	10	15	20	21 +	Total
Number of Cases	210	2,683	552	655	928	100	76	5,204
Percent of total (5,204)	4.072	51.537	10.603	12.582	17.826	1.921	1.460	
No. of Adverse Cases	52	546	143	249	230	24	17	1,261
Percent of Adverse Total (1,261)	4.124	43.299	11.340	19.746	18.240	1.903	1.348	
Index	1.01	.84	1.07	1.57	1.02	.99	.92	
No. of Resolved Against Cases	16	74	31	56	66	11	—	254
Percent of Resolved Against Total (254)	6.299	29.134	12.205	22.047	25.984	4.330	—	
Index	1.55	.57	1.15	1.75	1.46	1.28*	—	

** Note: Indices were derived from dividing percentage of Adverse and Resolved Against cases by percentage of total cases within each period of coverage category. The index marked by the asterisk (*) was derived in the same manner except that its denominator is the

combined percentage of the 20-year and 21-year plus categories (3.381%). Example: In the 1-5 year category, the resolved against percentage (29.134) divided by the total case percentage (51.537) produces an index of .57.

Figure C-22

Productivity Indices: Data 7 Years or Older

Source	Frequency This Source Was Checked	Pct of Total Checks	Cited As Unique Source *						Cited As Shared Source *					
			7 yrs or More Frequency—Pct		10 yrs or More Frequency—Pct		15 yrs or More Frequency—Pct		7 yrs or More Frequency—Pct		10 yrs or More Frequency—Pct		15 yrs or More Frequency—Pct	
Educational Records	3,801	10.496	1	1.61	—	—	—	—	3	0.997	2	1.081	1	1.470
Educational Personal Interviews	2,506	6.920	1	1.61	1	2.632	—	—	5	1.661	3	1.622	—	—
Employment Records	4,690	12.950	5	8.065	2	5.263	2	11.111	35	11.628	19	10.270	9	13.235
Employment Personal Interviews	4,724	13.044	3	4.839	1	2.632	—	—	35	11.628	18	9.730	3	4.412
Residence	4,963	13.704	—	—	—	—	—	—	4	1.329	3	1.622	1	1.470
Listed References	3,497	9.656	1	1.61	—	—	—	—	13	4.319	8	4.324	3	4.412
Developed Sources	3,126	8.632	5	8.065	2	5.263	1	5.556	48	15.947	26	14.054	9	13.235
Police	5,083	14.036	42	67.742	31	81.579	14	77.778	130	43.189	91	49.189	37	54.412
Credit	3,825	10.562	4	6.452	1	2.632	1	5.555	28	9.302	15	8.108	5	7.353
Totals	36,215		62		38		18		301		185		68	

* Note: Although this particular analysis excludes the NAC, Subject Admissions, and polygraph, the Uniqueness source totals do include those items and thus signify uniqueness amongst *all* other possible sources. Indices on Figure III-9 are derived from dividing the percentage of cited frequency in each year group by the

percentage of total checks. Example: In the seven-year group cited as unique source above for Educational Records, 1.61% is divided by the Educational Records Percentage of total checks, 10.496, to produce an index of .15 (first column in Figure III-9).

Figure C-23

Comparison of Unique and Shared Sources (Adverse Cases)
(Based on Years Required to Capture Data)

Source	Previous Investigation was BI				Previous Investigation was SBI			
	All Years	Years Ago			All Years	Years Ago		
		7 or More	10 or More	15 or More		7 or More	10 or More	15 or More
NAC: FBI Fingerprint	2/6*	1/3	1/3	1/3				
FBI Main Files	3/14	3/9	3/7	3/2	1/0	1/0	1/0	1/0
OPM	1/8	1/1	1/1	0/0	0/1	0/1	0/1	0/1
DOD	18/32	10/23	9/19	5/16	2/7	2/5	0/4	0/3
Other	5/9	3/7	2/7	1/4	1/0	1/0	1/0	1/0
Educational Records	1/2	1/1	1/1	1/1				
Educational Personal Interviews	1/1	1/0	1/0	1/0				
Employment Records	6/17	5/13	5/13	2/7	0/5	0/3	0/2	0/1
Employment Personal Interviews	4/23	3/14	3/12	3/6	0/4	0/2	0/1	0/0
Residence	0/7	0/3	0/3	0/2				
Listed References	2/12	1/8	1/7	0/4	0/4	0/2	0/2	0/0
Developed Sources	6/35	5/26	5/23	3/13	0/3	0/1	0/1	0/0
Police	27/32	18/23	14/22	10/14	5/7	4/5	3/4	2/3
Credit	4/9	3/9	3/7	2/3	2/1	2/1	1/1	0/1
Polygraph	14/1	9/0	7/0	5/0	8/2	5/2	3/2	1/0
Total Cases	1,212	800	654	445	222	130	83	51
Percent of Total Cases (5,204)	23	16	13	9	4.27	2.50	1.59	0.98
Adverse Cases	246	168	141	90	49	31	22	11
Percent of Total Adverse (1,261)	20	13	11	7	3.89	2.46	1.75	0.87
Index	.84	.87	.89	.84	.91	.98	1.1	.89

* Indicates Ratio of Unique Sources to Shared Sources.

Figure C-24

Categories and Subcategories of Resolved Against Data

(49 Cases Previously
Subjected to BI or SBI)

A. SUBJECT COOPERATION:		
1. Refusal to furnish information		
2. Refusal to give release		
3. Falsification in papers or interview		1
4. False identity		
B. LOYALTY:		
1. Treason		
2. Espionage		
3. Sabotage		
4. Subversion		
5. Disaffection		
6. Conflict of security interest		
C. FOREIGN CONNECTION:		
1. Subject not US citizen		2
2. Spouse not citizen		3
3. Relatives potential "hostage"		1
4. Alien relatives, "hostage" unlikely		1
5. Life abroad cannot be verified		
D. DISHONESTY:		
1. Criminal: theft, burglary, forgery, fraud, perjury, etc.		5
2. Non-criminal: lying, cheating, plagiarism, etc.		2
E. IRRESPONSIBILITY:		
1. Violation of security regulations		
2. Insubordination, midfeasance		1
3. Draft evasion, desertion		
4. Poor judgment		7
5. Indiscreet		1
6. Scofflaw		1
F. IMMORAL CONDUCT:		
1. Homosexual conduct		9
2. Other perverted conduct		1
3. Heterosexual misconduct		1
G. FINANCIAL:		
1. Excessive indebtedness		3
2. Irresponsibility, refusal to pay debts		2
3. Living beyond means, unexplained affluence		
4. Excessive or compulsive gambling		
5. Business bankruptcy		
6. Personal bankruptcy		3
H. MEDICAL:		
1. Mental illness or impairment		1
2. Emotional instability		
3. Inability to cope with stress		1
I. DRUGS OR ALCOHOL:		
1. Drug experimentation		3
2. Drug abuse, rehabilitated		3
3. Current marijuana use		6
4. Current abuse of other drugs		5
5. Alcohol abuse		6
6. Drug trafficking		1
J. CRIMINAL: (other than above)		
1. Juvenile		
2. Adult: Only minor traffic violation		1
3. Adult misdemeanor		1
4. Adult felony		5
K. OTHER:		1

Figure C-25

Productivity of Sources

Source				Adverse Data (1,730 Factors)						Resolved Against Data (409 Factors)					
	Frequency	Percent of Total Cases (5,204)	Percent of Total Frequency ^{1,3}	Productivity Index						Productivity Index					
				Frequency as Unique Source	Percent of Total Unique Source ⁴	Frequency as Any Source	Percent of Total Sources ⁵	As Unique Source ⁴	As Any Source ⁵	Frequency as Unique Source	Percent of Total Unique Source ⁴	Frequency as Any Source	Percent of Total Sources ⁵	As Unique Source ⁴	As Any Source ⁵
Subject ¹	2,646	51	4.500	156	20.18	374	13.34	4.48	2.96	18	9.57	83	11.74	2.13	2.61
NAC: FBI Fingerprint Files	5,204	100	8.851	6	0.78	100	3.57	.09	.40	—	—	11	1.56	—	.18
FBI Main Files	5,204	100	8.851	2	0.26	56	1.99	.03	.22	—	—	4	0.57	—	.06
OPM	5,204	100	8.851	2	0.26	136	4.85	.03	.55	—	—	11	1.56	—	1.56
DOD ²	4,043	78	6.876	25	3.23	198	7.06	.47	1.03	7	3.72	68	9.62	.54	1.40
Other ³	—	—	—	2	0.26	123	4.39	—	—	—	—	17	2.40	—	—
Educational Records	3,801	73	6.465	7	0.91	24	0.86	.14	.13	—	—	1	0.14	—	.02
Educational Personal Interviews	2,506	48	4.262	4	0.52	40	1.43	.12	.34	1	0.53	12	1.70	.12	.40
Employment Records	4,690	90	7.976	18	2.33	184	6.56	.29	.82	6	3.19	42	5.94	.40	.74
Employment Personal Interviews	4,724	91	8.034	66	8.54	277	9.88	1.06	1.23	25	13.30	97	13.72	1.66	1.71
Residence	4,963	95	8.440	14	1.81	81	2.90	.21	.34	3	1.60	23	3.25	.19	.39
Listed References	3,497	67	5.947	3	0.39	75	2.68	.07	.45	—	—	22	3.11	—	.52
Developed Sources	3,126	60	5.317	79	10.22	293	10.45	1.92	1.96	14	7.45	110	15.56	1.40	2.92
Police	5,038	97	8.568	127	16.43	488	17.41	1.92	2.03	24	12.77	82	11.60	1.49	1.35
Credit	3,825	74	6.505	42	5.43	119	4.25	.83	.65	6	3.19	31	4.38	.49	.67
Polygraph	327	6	0.556	220	28.45	235	8.38	50.80	14.96	84	44.68	93	13.15	79.79	23.48
Totals	58,798			773		2,803				188		707			

¹ Includes cases in which Subject was interviewed administratively or by investigator; excludes polygraph (shown as separate source) and cases in which only source was Subject but in "papers only."

² Estimated from totals for Agencies 1, 2, 3, 4, 6, 8, and 9. Excludes Agencies 5, 11, and 12.

³ Not included in analysis; frequency of checks made is unknown; checks were made only as needed.

⁴ Index derived from dividing percentage of total unique sources by percentage of total frequency. Example: Subject, 20.18% ÷ 4.5% = productivity index of 4.48.

⁵ Index derived from dividing percentage of total as any source by percentage of total frequency. Example: Subject, 13.34% ÷ 4.5% = productivity index of 2.96.

Figure C-26

Table of Sources by Agency
(All Adverse Data)

Agency	1	2	3	4	5	6	8	9	11	12	Total
Source:											
Not Shown ¹	5	8	2	6	12	1	4	4	7	4	—
Subject ²	19	12	2	142	3	12	55	3	—	9	257
Subject ³	33	171	90	1	21	38	5	—	10	5	374
NAC: FBI Fpt.	5	8	10	23	—	5	49	—	—	—	100
FBI Main	2	5	1	4	1	2	8	1	—	32	56
OPM	—	—	1	38	1	1	91	2	—	2	136
DOD	27	38	95	14	—	11	11	2	—	—	198
Other	5	99	5	3	1	1	4	4	—	1	123
Educational Records	1	6	—	1	1	1	8	3	—	3	24
Educational Personal Interviews	4	15	—	8	2	—	3	4	2	2	40
Employment Records	12	30	16	21	1	4	87	6	4	3	184
Employment Personal Interviews	27	40	19	62	4	5	71	14	31	4	277
Residence	3	13	3	38	—	—	6	8	6	4	81
Listed References	9	6	3	24	4	1	—	22	1	5	75
Developed Sources	36	30	37	70	4	6	55	37	14	4	293
Police	21	91	48	98	3	9	193	—	6	19	488
Credit	9	22	14	26	1	1	31	5	2	8	119
Polygraph ⁴	—	—	—	—	—	—	—	235	—	—	235
Total	213	586	344	573	47	97	677	346	76	101	3,060
Number of Cases with Adverse Information	82	234	109	243	37	59	172	236	52	37	1,261

¹ Does not appear in Totals.² Totals include submission of papers only.³ Totals include results of administrative screening and investigative interviews combined.⁴ Source used by one agency only.

Figure C-27

Sources and Categories of Adverse Factors
in 254 Resolved Against Cases

NAC	Polygraph	Confessed in Subject Interview	Empl. Rec. & Int. Police; Credit	Educ. Rec. & Int. Listed Ref.	Developed Sources	Total	Subj. Cooperation	Loyalty	Foreign Connections	Dishonesty	Irresponsibility	Immoral Conduct	Financial	Medical	Drugs or Alcohol	Criminal	Other
Source Not Shown						19	—	—	2	2	1	—	1	—	4	—	9
●						11	1	—	2	—	3	2	1	—	1	1	—
	●					84	—	—	3	7	4	20	1	—	47	2	—
		●				15	—	1	2	1	1	—	1	1	5	1	2
0		0				11	2	—	3	—	—	—	—	—	6	—	—
			●			80	7	—	—	15	30	—	6	2	13	5	2
0			0			27	6	—	—	6	4	1	2	—	2	4	2
		0	0			13	—	—	—	2	2	—	6	—	1	1	1
0		0	0			18	1	—	—	2	1	1	4	—	7	2	—
				●		36	1	1	1	1	4	8	2	3	12	2	1
0				0		8	—	—	—	—	2	1	—	2	2	—	1
	0			0		6	—	—	1	—	—	—	—	—	5	—	—
0	0			0		1	—	—	1	—	—	—	—	—	—	—	—
		0		0		3	1	—	—	—	—	—	—	—	1	—	1
0		0		0		9	—	—	1	—	1	—	2	—	3	—	2
			0	0		40	5	—	—	5	12	1	4	6	5	1	1
0			0	0		12	1	—	—	3	—	—	3	2	1	1	1
	0		0	0		2	—	—	—	—	—	—	1	—	1	—	—
		0	0	0		6	—	—	—	—	—	—	1	—	5	—	—
0	0	0	0	0		8	1	—	—	1	—	2	1	—	3	—	—
105	93	83	206	131		409	26	2	16	45	65	36	36	16	124	20	23

● — Unique Source.
0 — Shared Source.

Figure C-28

Sources and Categories of Adverse Factors
in 1,261 Cases

NAC	Polygraph	Subject Interview	Empl. Rec. & Int. Police; Credit	Educ. Rec. & Int. Listed Ref. Developed Sources	Total	Subj. Cooperation Loyalty	Foreign Connections Dishonesty	Irresponsibility Immoral Conduct	Financial Medical	Drugs or Alcohol	Criminal	Other
●	Source Not Shown				123	4 —	13 4	7 3	3 4	31	40	14
	●				63	2 1	10 5	10 3	3 4	13	11	1
		●			220	2 —	13 12	6 26	2 1	149	6	3
0		0			94	1 1	23 2	2 1	2 10	35	12	5
			●		67	2 —	11 3	3 2	— 3	18	24	1
0			0		403	58 1	— 46	97 7	49 7	49	79	10
0			0		199	31 —	1 26	34 2	14 4	28	56	3
	0		0		1	— —	— —	— —	— —	—	—	1
		0	0		47	— —	1 2	2 —	12 2	9	18	1
0		0	0		96	1 —	13 4	6 2	8 1	18	37	6
				●	158	6 3	7 12	22 23	22 17	32	3	11
0			0		42	— 1	1 3	12 7	2 6	8	1	1
	0		0		11	— —	3 —	— —	— —	8	—	—
0	0		0		1	— —	1 —	— —	— —	—	—	—
		0	0		16	1 —	4 —	— —	1 4	3	1	2
0		0	0		30	— 1	3 —	5 4	2 2	9	1	3
			0	0	98	10 —	— 8	18 8	18 10	20	4	2
0			0	0	35	3 —	2 3	2 1	7 3	8	5	1
	0		0	0	2	— —	— —	— —	1 —	1	—	—
		0	0	0	11	— —	— —	— 1	1 1	7	1	—
0		0	0	0	13	1 —	— 1	2 —	2 —	6	1	—
546	235	379	905	417	1,730	122 8	106 131	228 90	149 79	452	300	65

● — Unique Source.
0 — Shared Source.

Figure C-29

Subject Responses in 1,261 Adverse Cases

Response	Frequency	Percentage
Subject Admitted	618	54.5
Admitted or Not Asked	51	4.5
Falsified	154	13.6
Falsified or Not Asked	17	1.5
Admitted or Falsified	32	2.8
Not Asked	253	22.3
All Three Combined	8	0.7

Figure C-30

Adverse Data by Type of Screening Procedures*

Screening Procedures	All Cases	Percent of Total (5,204)	Factor One					All Factors				
			Not Shown	Admitted	Falsified	Not Asked	Total	Not Shown	Admitted	Falsified	Not Asked	Total
None (Papers Only)	2,231	42.87	31	210	118	165	524	31	257	273	238	800
Administrative Screening	1,484	28.52	13	162	23	44	242	13	199	33	68	312
Investigative Interviews	1,162	22.33	33	153	29	61	276	33	175	41	74	323
Polygraph	327	6.28	64	140	12	3	219	64	169	14	5	252
Totals	5,204		141	665	182	273	1,261	141	800	361	385	1,687

Stated in Percentages												
Factor One								All Factors				
None (Papers Only)	21.99	31.58	64.84	60.44				21.99	32.12	75.62	61.82	
Administrative Screening	9.22	24.36	12.64	16.12				9.22	24.88	9.14	17.67	
Investigative Interviews	23.40	23.01	15.93	22.34				23.40	21.88	11.36	19.22	
Polygraph	45.39	21.05	6.59	1.10				45.39	21.12	3.88	1.29	
Totals	11.18	52.74	14.43	21.65				8.36	47.42	21.40	22.82	

* Note: Indices in VI-1, VI-2, and VI-3 are derived by dividing percentages of each item by that item's share of all cases. Example: Percentage for Polygraph in Admitted column of Factor One is

shown above as 21.05%. That rate is divided by 6.28%, which is the Polygraph's share of all 5,204 cases, to arrive at a relative effectiveness index of 3.35 in Figure VI-1.

Figure C-31

Resolved Against Data by Type of Screening Procedures*

Screening Procedures	All Cases	Percent of Total (5,204)	Factor One					All Factors				
			Not Shown	Admitted	Falsified	Not Asked	Total	Not Shown	Admitted	Falsified	Not Asked	Total
None (Papers Only)	2,231	42.87	4	14	13	8	39	4	23	40	18	85
Administrative Screening	1,484	28.52	6	26	8	10	50	6	46	14	23	89
Investigative Interviews	1,162	22.33	9	28	19	34	90	9	37	28	40	114
Polygraph	327	6.28	19	48	7	1	75	19	67	8	1	95
Totals	5,204		38	116	47	53	254	38	173	90	82	383

Stated in Percentages												
Factor One					All Factors							
None (Papers Only)	10.53	12.07	27.66	15.09	10.53	13.29	44.44	21.95				
Administrative Screening	15.79	22.41	17.02	18.87	15.79	26.59	15.56	28.05				
Investigative Interviews	23.68	24.14	40.43	64.15	23.68	21.39	31.11	48.78				
Polygraph	50.00	41.38	14.89	1.89	50.00	38.73	8.89	1.22				
Totals	14.96	45.67	18.50	20.87	9.92	45.17	23.50	21.41				

* Note: See Appendix C-30 for Adverse Data and explanation of how indices are derived.

Figure C-32

**Adverse Data by Type of Screening Procedures:
No Previous Investigation (787 Cases)***

Screening Procedures	All Cases	Percent of Total (5,204)	Factor One					All Factors				
			Not Shown	Admitted	Falsified	Not Asked	Total	Not Shown	Admitted	Falsified	Not Asked	Total
None (Papers Only)	2,231	42.87	21	151	99	122	393	21	185	232	179	617
Administrative Screening	1,484	28.52	3	64	6	17	90	3	77	11	25	116
Investigative Interviews	1,162	22.33	21	76	13	38	148	21	90	19	45	175
Polygraph	327	6.28	43	104	8	1	156	43	127	9	2	181
Totals	5,204		88	395	126	178	787	88	479	271	251	1,089

Stated in Percentages

	Factor One				All Factors			
	23.86	38.23	78.57	68.54	23.86	38.62	85.61	71.31
None (Papers Only)								
Administrative Screening	3.41	16.20	4.76	9.55	3.41	16.08	4.06	9.96
Investigative Interviews	23.86	19.24	10.32	21.35	23.86	18.79	7.01	17.93
Polygraph	48.86	26.33	6.35	0.56	48.86	26.51	3.32	0.80
Totals	11.18	50.19	16.01	22.62	8.08	43.99	24.89	23.05

*Note: See Appendix C-30 for explanation of how indices are derived.

Figure C-33

Productivity Data: Subject Admission by Category
(All Adverse Factors; No Previous Investigation)

Category	Not Shown	Admitted	Percent of Admitted	Falsified	Percent of Falsified	Not Asked	Percent of Not Asked	Total (Excluding NS)	Percent of Total
A. Subject Cooperation	4	2	0.419	89	33.086	1	0.395	92	9.209
B. Loyalty	—	1	0.210	—	—	1	0.395	2	0.200
C. Foreign Connections	7	34	7.128	1	0.372	—	—	35	3.504
D. Dishonesty	6	32	6.709	35	13.011	18	7.115	85	8.509
E. Irresponsibility	10	39	8.176	55	20.446	56	22.134	150	15.015
F. Immoral Conduct	7	17	3.564	7	2.602	22	8.696	46	4.046
G. Financial	4	20	4.193	8	2.974	54	21.344	82	8.208
H. Medical	4	13	2.725	3	1.115	23	9.091	39	3.904
I. Drugs and Alcohol	36	173	36.268	45	16.729	36	14.229	254	25.425
J. Criminal (other than above)	4	136	28.512	24	8.922	25	9.881	185	18.519
K. Other	6	10	2.096	2	0.743	17	6.719	29	2.903
Totals	88	477		269		253		999	